

2022 Franchise
Disclosure Docu



FRANCHISE DISCLOSURE DOCUMENT

Ameriprise Financial Services, LLC
A Delaware Limited Liability Company
200 Ameriprise Financial Center
Minneapolis, Minnesota 55474
Telephone: (612) 671-3131
www.ameriprise.com
ufocandfddquestions@ampf.com

The Independent Advisor will operate a business that offers financial planning, investment advice and consulting services, brokerage services, securities products, and other related products under the “Ameriprise Financial Services, LLC” name and logo.

The total investment necessary to begin operation of an Ameriprise Financial Services, LLC Independent Advisor Business franchise is \$11,~~089,434~~.22 to \$~~114,830~~127,565.50. This includes \$1,500 to \$6,500 that must be paid to the franchisor or ~~affiliate~~its affiliates.

This Disclosure Document summarizes certain provisions of your franchise agreement and other information in plain English. Read this Disclosure Document and all accompanying agreements carefully. You must receive this Disclosure Document at least 14 calendar days before you sign a binding agreement with, or make any payment to, ~~the~~ franchisor or ~~an~~ affiliate in connection with the proposed franchise sale. **Note, however, that no governmental agency has verified the information contained in this document.**

You may wish to receive your Disclosure Document in another format that is more convenient for you. To discuss the availability of disclosures in different formats, contact the Franchise Operations Department at 960 Ameriprise Financial Center, Minneapolis, Minnesota 55474, 612-671-5262, and at ufocandfddquestions@ampf.com.

The terms of your contract will govern your franchise relationship. Don’t rely on the Disclosure Document alone to understand your contract. Read all of your contract carefully. Show your contract and this Disclosure Document to an advisor, like a lawyer or an accountant.

Buying a franchise is a complex investment. The information in this Disclosure Document can help you make up your mind. More information on franchising, such as “A Consumer’s Guide to Buying a Franchise,” which can help you understand how to use this Disclosure Document, is available from the Federal Trade Commission (“FTC”). You can contact the FTC at 1-877-FTC-HELP or by writing to the FTC at 600 Pennsylvania Avenue, NW, Washington, ~~D.C.~~DC 20580. You can also visit the FTC’s home page at www.ftc.gov for additional information. Call your state agency or visit your public library for other sources of information on franchising.

There may also be laws on franchising in your state. Ask your state agencies about them. ~~Issuance Date: March 26, 2021 as amended October 6, 2021.~~

Issuance Date: March 28, 2022.

How to Use This Franchise Disclosure Document

Here are some questions you may be asking about buying a franchise and tips on how to find more information:

QUESTION	WHERE TO FIND INFORMATION
How much can I earn?	Item 19 may give you information about outlet sales, costs, profits or losses. You should also try to obtain this information from others, like current and former franchisees. You can find their names and contact information in Item 20 or Exhibit J.
How much will I need to invest?	Items 5 and 6 list fees you will be paying to the franchisor or at the franchisor's direction. Item 7 lists the initial investment to open. Item 8 describes the suppliers you must use.
Does the franchisor have the financial ability to provide support to my business?	Item 21 or Exhibit N includes financial statements. Review these statements carefully.
Is the franchise system stable, growing, or shrinking?	Item 20 summarizes the recent history of the number of company-owned and franchised outlets.
Will my business be the only Ameriprise Financial Services, LLC Independent Financial Advisor Business in my area?	Item 12 and the "territory" provisions in the franchise agreement describe whether the franchisor and other franchisees can compete with you.
Does the franchisor have a troubled legal history?	Items 3 and 4 tell you whether the franchisor or its management have been involved in material litigation or bankruptcy proceedings.
What's it like to be an Ameriprise Financial Services, LLC Independent Financial Advisor Business franchisee?	Item 20 or Exhibits J and K list current and former franchisees. You can contact them to ask about their experiences.
What else should I know?	These questions are only a few things you should look for. Review all 23 Items and all Exhibits in this Disclosure Document to better understand this franchise opportunity. See the Table of Contents.

What You Need to Know About Franchising *Generally*

Continuing responsibility to pay fees. You may have to pay royalties and other fees even if you are losing money.

Business model can change. The franchise agreement may allow the franchisor to change its manuals and business model without your consent. These changes may require you to make additional investments in your franchise business or may harm your franchise business.

Supplier restrictions. You may have to buy or lease items from the franchisor or a limited group of suppliers the franchisor designates. These items may be more expensive than similar items you could buy on your own.

Operating restrictions. The franchise agreement may prohibit you from operating a similar business during the term of the franchise. There are usually other restrictions. Some examples may include controlling your location, your access to customers, what you sell, how you market, and your hours of operation.

Competition from franchisor. Even if the franchise agreement grants you a territory, the franchisor may have the right to compete with you in your territory.

Renewal. Your franchise agreement may not permit you to renew. Even if it does, you may have to sign a new agreement, with different terms and conditions in order to continue to operate your franchise business.

When your franchise ends. The franchise agreement may prohibit you from operating a similar business after your franchise ends even if you still have obligations to your landlord or other creditors.

Some States Require Registration

Your state may have a franchise law, or other law, that requires franchisors to register before offering or selling franchises in the state. Registration does not mean that the state recommends the franchise or has verified the information in this document. To find out if your state has a registration requirement, or to ~~contract~~contact your state, use the agency information in Exhibit B.

Your state also may have laws that require special disclosures or amendments be made to your franchise agreement. If so, you should check the State Specific Addenda. See the Table of Contents for the location of the State Specific Addenda.

Special Risks to Consider About *This* Franchise

Certain states require that the following risk(s) be highlighted:

1. Out-Of-State Dispute Resolution. The franchise agreement requires you to resolve disputes with the franchisor by mediation, arbitration, and/or litigation only in Minnesota. Out-of-state mediation, arbitration, or litigation may force you to accept a less favorable settlement for disputes. It may also cost more to mediate, arbitrate, or litigate with the franchisor in Minnesota than in your own state.

Certain states may require other risks to be highlighted. Check the State Specific Addenda to see whether your state requires other risks to be highlighted.

MICHIGAN COVER PAGE

THE STATE OF MICHIGAN PROHIBITS CERTAIN UNFAIR PROVISIONS THAT ARE SOMETIMES IN FRANCHISE DOCUMENTS. IF ANY OF THE FOLLOWING PROVISIONS ARE IN THESE FRANCHISE DOCUMENTS, THE PROVISIONS ARE VOID AND CANNOT BE ENFORCED AGAINST YOU:

- (A) A prohibition on the right of a franchisee to join an association of franchisees.
- (B) A requirement that a franchisee assent to a release, assignment, novation, waiver, or estoppel which deprives a franchisee of rights and protections provided in this act. This shall not preclude a franchisee, after entering into a franchise agreement, from settling any and all claims.
- (C) A provision that permits a franchisor to terminate a franchise prior to the expiration of its term except for good cause. Good cause shall include the failure of the franchisee to comply with any lawful provision of the franchise agreement and to cure such failure after being given written notice thereof and a reasonable opportunity, which in no event need be more than 30 days, to cure such failure.
- (D) A provision that permits a franchisor to refuse to renew a franchise without fairly compensating the franchisee by repurchase or other means for the fair market value at the time of expiration of the franchisee's inventory, supplies, equipment, fixtures, and furnishings. Personalized materials which have no value to the franchisor and inventory, supplies, equipment, fixtures, and furnishings not reasonably required in the conduct of the franchise business are not subject to compensation. This subsection applies only if: (i) the term of the franchise is less than 5 years; and (ii) the franchisee is prohibited by the franchise or other agreement from continuing to conduct substantially the same business under another trademark, service mark, trade name, logotype, advertising, or other commercial symbol in the same area subsequent to the expiration of the franchise or the franchisee does not receive at least 6 months advance notice of franchisor's intent not to renew the franchise.
- (E) A provision that permits the franchisor to refuse to renew a franchise on terms generally available to other franchisees of the same class or type under similar circumstances. This section does not require a renewal provision.
- (F) A provision requiring that arbitration or litigation be conducted outside this state. This shall not preclude the franchisee from entering into an agreement, at the time of arbitration, to conduct arbitration at a location outside this state.
- (G) A provision which permits a franchisor to refuse to permit a transfer of ownership of a franchise, except for good cause. This subdivision does not prevent a franchisor from exercising a right of first refusal to purchase the franchise. Good cause shall include, but is not limited to:
 - (1) The failure of the proposed transferee to meet the franchisor's then current reasonable qualifications or standards.
 - (2) The fact that the proposed transferee is a competitor of the franchisor or subfranchisor.
 - (3) The unwillingness of the proposed transferee to agree in writing to comply with all lawful obligations.
 - (4) The failure of the franchisee or proposed transferee to pay any sums owing to the franchisor or to cure any default in the franchise agreement existing at the time of the proposed transfer.
- (H) A provision that requires the franchisee to resell to the franchisor items that are not uniquely identified with the franchisor. This subdivision does not prohibit a provision that grants to a franchisor a right of first refusal to purchase the assets of a franchise on the same terms and conditions as a bona fide third party willing and able to purchase those assets, nor does this subdivision prohibit a provision that grants the franchisor the right to acquire the assets of a franchise for the market or appraised value of such assets if the franchisee has breached the lawful provisions of the franchise agreement and has failed to cure the breach in the manner provided in subdivision (C).
- (I) A provision which permits the franchisor to directly or indirectly convey, assign, or otherwise transfer its obligations to fulfill contractual obligations to the franchisee unless provision has been made for providing the required contractual services.

THE FACT THAT THERE IS A NOTICE OF THIS OFFERING ON FILE WITH THE ATTORNEY GENERAL DOES NOT CONSTITUTE APPROVAL, RECOMMENDATION, OR ENDORSEMENT BY THE ATTORNEY GENERAL.

A franchisor whose most recent financial statements are unaudited and which show a net worth of less than \$100,000.00 shall, at the request of a franchisee, arrange for the escrow of initial investment and other funds paid by the franchisee until the obligations to provide real estate, improvements, equipment, inventory, training, or other items included in the franchise offering are fulfilled. At the option of the franchisor, a surety bond may be provided in place of escrow.

The escrow agent shall be a financial institution authorized to do business in this state. The escrow agent may release to the franchisor those amounts of the escrowed funds applicable to a specific franchisee upon presentation of an affidavit executed by the franchisee and an affidavit executed by the franchisor stating that the franchisor has fulfilled its obligation to provide real estate, improvements, ~~equipment~~equipment, inventory, training, or other items. This subsection does not prohibit a partial release of escrowed funds upon receipt of affidavits of partial fulfillment of the franchisor's obligation.

The name and address of the franchisor's agent in this state authorized to receive service of process is Michigan Department of Commerce, Corporation and Securities Bureau, 6546 Mercantile Way, PO Box 30222, Lansing, Michigan 48910.

Any questions regarding this notice should be directed to:

Department of the Attorney General's Office
Consumer Protection Division
Franchise Section
PO Box 30213
Lansing, Michigan 48909

Note: Notwithstanding paragraph (F) above, we intend to, and you agree that, we and you will enforce fully the provisions of the arbitration section of our agreements. We believe that paragraph (F) above is unconstitutional and cannot preclude us from enforcing the arbitration provisions.

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ATTACHMENTS:

EXHIBIT A – Independent Advisor Business Franchise Agreement (including Addendum 1 (Supervision Agreement), Addendum 2 (Registered Principal Agreement), Addendum 3-T (Employee to Franchise Transitions), Addendum 3-V (Veteran Advisor Recruits), Addendum 4 (Associate Financial Advisor), Addendum 5 (Franchise Consultant Services), and Addendum 6 (Fee Waiver)).

EXHIBIT B – State Addenda

EXHIBIT C – List of Affiliates

EXHIBIT D – Confidentiality Agreement

EXHIBIT E – State Administrators and Agents for Service of Process

EXHIBIT F – Independent ~~Financial~~ Advisor Compliance Certification

EXHIBIT G – Franchise Consulting Services Agreement

EXHIBIT H – Promissory Note

EXHIBIT I – *AdvisorCompass*® Software License User’s Agreement ~~EXHIBIT J – List of Independent Financial Advisor Business Locations~~

~~EXHIBIT K – Independent Advisors that Left the System~~

EXHIBIT J – List of Independent Advisor Business Locations

EXHIBIT K – Independent Advisors that Left the System

EXHIBIT L – GDC Calculation Examples

EXHIBIT M – Loan and Security Agreement

EXHIBIT N – Financial Statements

EXHIBIT O – Death and Disability Plan (including General Release)

STATE EFFECTIVE DATES

ITEM 1

THE FRANCHISOR AND ANY PARENTS, PREDECESSORS, AND AFFILIATES

The Franchisor

This Disclosure Document describes the franchises offered by Ameriprise Financial Services, LLC (“**Ameriprise Financial**”, “**Ameriprise**”, “**we**” or “**us**”). We were formed as a Delaware corporation on June 14, 1971, and on January 9, 2020, we converted to a Delaware limited liability company. We conduct our business under our corporate name, the “**Ameriprise**” trademark, “**Ameriprise Financial**®” registration mark, and the “**Ameriprise Financial**” logo. Our principal business address is 200 Ameriprise Financial Center, Minneapolis, Minnesota 55474.

We and our affiliates offer personalized financial products and services to help clients achieve their financial goals through personal financial planning and advice. Over the years, we and our financial advisors have helped millions of people invest and save billions of dollars for what is important to them. In today’s complex financial world, we help our financial advisors serve clients by providing a steady voice, a listening ear, and a clear vision of financial opportunities and pitfalls. Through our ongoing relationship with clients, we and our financial advisors identify and tailor solutions for clients’ specific needs. Our overall vision is to be the most sought-after financial planning and services firm.

We and our affiliates offer a wide range of personalized financial services and product solutions to help meet clients’ financial needs and objectives. These include: investment advisory services, wealth management, asset management, brokerage, mutual funds, insurance, annuities, REITS, alternative investments, retirement plans, trust services, and other products and services. The financial products and services that we and our affiliates offer are provided and marketed to clients nationwide through our and our affiliates’ employees, independent contractors, and third parties. We and our affiliates use direct marketing, telemarketing, online services, local and national advertising, and seminar presentations to market financial products and services that we offer.

Prior to October 1, 2005, we were affiliated with American Express Company (“**AEC**”). On September 30, 2005, AEC spun-off our direct parent, Ameriprise Financial, Inc., to the shareholders of AEC, and it became an independent public company with separate management. As an independent company, Ameriprise Financial, Inc. and its wholly owned subsidiary, Ameriprise Financial Services, LLC, formerly Ameriprise Financial Services, Inc., are not affiliated with AEC or any affiliate of AEC.

In 1999, we began offering franchises for Ameriprise Financial, formerly American Express Financial Advisors Inc., independent financial advisor businesses. Other than the franchises described in this Disclosure Document, we do not grant, and have not granted, franchises in any other line of business. We began contracting with non-franchised independent contractors (“**Independent Contractors**”) who sell our financial products and services. ~~For the last 46 years, we have~~We also ~~utilized~~utilize non-franchised personal financial advisors that operate as employees (“**Employees**”). ~~Prior to 1999, financial advisors were our Employees during their first year and became Independent Contractors thereafter. Beginning in 1999, financial advisors had the choice either to remain an Employee or become a franchisee (“Independent Advisors”).~~ Employees are paid a draw amount, are eligible for commissions, and receive training on offering products and services to clients. Employees operate under agreements with us (“**Advisor Agreement**”), of which the terms are different from those described in this Disclosure Document. ~~Prior to 1999, financial advisors were our Employees during their first year and became Independent Contractors thereafter. Beginning in 1999, financial advisors had the choice either to remain an Employee or become a franchisee (“Independent Advisors”).~~ At the end of ~~2020~~2021, we had approximately 4,278,221 Independent Advisors and approximately 1,829,795 Employees nationwide. We also offer Independent Advisors the opportunity to use non-franchised personnel financial advisors that operate as employees or contractors of our Independent Advisors ~~(in this document they are referred to as “~~“**Associate Financial Advisors**”). We began offering Independent Advisors the opportunity to use Associate Financial Advisors in 2002, and at the end of ~~2020~~2021, there were approximately 3,529,776 Associate Financial Advisors. Independent Advisors wishing to utilize an Associate Financial Advisor must sign Addendum 4 to the Franchise Agreement. We also utilize corporate office staff (“**Corporate Staff**”) to service clients online and/or over the telephone. In 2017, our affiliate acquired Investment Professionals, Inc., a broker-dealer, which that provides investment services through relationships with banks, credit unions, and other financial institutions. Referred to as Ameriprise Financial Institutions Group (“**AFIG**”), this group operates separately from our Independent Advisors, Employees, and Corporate Staff. At the end of ~~2020~~2021, there were approximately 436,188 AFIG advisors. Employees, Associate Financial Advisors, Corporate Staff, and

AFIG advisors have and will offer financial products and services that are similar to, or the same as, the products and services that will be offered by the Independent Financial Advisor Business offered in this Disclosure Document. Independent Advisors will pay an Initial Fee and a monthly Association Fee, unlike Employees, Corporate Staff, and AFIG advisors who pay no such fees.

Our agents for service of process are listed in Exhibit E.

Our Parent and Affiliates

We are a wholly owned subsidiary of Ameriprise Financial, Inc., a Delaware corporation (the “Parent”). We have 4718 affiliates that may provide products and services to our franchisees and clients, each of which is a wholly-owned subsidiary of the Parent or us: American Enterprise Investment Services, Inc., which is a clearing broker for brokerage transactions processed through brokerage accounts with us; Ameriprise Bank, FSB, which provides deposit, lending, and personal trust products and services; Ameriprise Captive Insurance Company, which is a risk financing entity for Ameriprise Financial; Ameriprise Certificate Company, which offers investment certificates; Ameriprise Trust Company and Ameriprise Capital Trusts I-IV, which offer trust services to qualified plans; Columbia Management Investment Advisers, LLC, which provides investment advice to institutional clients and mutual funds; Columbia Management Investment Distributors, Inc., which serves as the principal underwriter and distributor of the Columbia-branded suite of funds, serves as placement agent of private funds managed by Columbia Management Investment Advisers, LLC, distributes Columbia Trust collective funds, and offers separately managed account strategies managed by Columbia Management Investment Advisers, LLC to wrap program sponsors; Columbia Management Investment Services Corp., which is an SEC-registered transfer agent for Columbia-branded funds, Ameriprise certificates, and processes shareholder purchase and redemption requests; RiverSource Distributors, Inc., which is a limited purpose broker-dealer that distributes variable life insurance and variable annuities through us; RiverSource Life Insurance Company and RiverSource Life Insurance Co. of New York, which are conventional life insurance companies offering fixed and variable annuities, fixed and variable life insurance, disability income insurance, and long-term care insurance; Threadneedle International Limited and Columbia Wanger Asset Management, LLC, which advise and sub-advise mutual funds and institutional clients.

A list of our affiliates and their respective addresses is attached as Exhibit C. Except as described above, our predecessors and affiliates have not in the past offered franchises in this, or any other, line of business.

The Franchise Offered

We have developed and own a distinctive system that offers, through financial advisors, financial planning, investment advice and consulting services, securities products, insurance products, brokerage services, tax planning services, lending services, and other related products and services provided, or procured, through us, our affiliates, and/or third parties (collectively, “**Products & Services**”) to individuals and/or business owners (the “**System**”). The distinguishing characteristics of the System include: over 120 years of history in financial services; distinctive products and services; a high level of securities and regulatory compliance; the highest standards of customer service and quality advice, including financial planning; administration procedures providing for superior customer service and management control, including consolidated statements; orientation programs; advertising and promotional programs; and direct marketing services, telemarketing, and online services directed to clients; all of which may be changed, improved, and further developed by us from time-to-time. The System is identified by trade names, service marks, trademarks, logos, emblems, and indicia of origin for use in connection with the System, as further described in Item 13 (“**Proprietary Marks**”).

If we offer a franchise to you (we will refer to the franchisee as “you”), you will sign the Independent Advisor Business Franchise Agreement (the “**Franchise Agreement**”, attached to this Disclosure Document as Exhibit A), which will grant you the right to establish and operate the independent financial advisor business using our System and the Proprietary Marks (the “**Independent Financial Advisor Business**”). To promote the highest standards of operation under the System, we have prepared Confidential ~~Operations and Compliance~~ Manuals (the “**Manuals**”), to which you will be granted access by a method selected by us, and which include, but are not limited to, ~~manuals, the Confidential Operations and Compliance Manual; the Compensation Reference Guide (defined below); and~~ bulletins, ~~and other written manuals,~~ policies, and procedures setting forth the minimum standards for the Independent Financial Advisor Business, including Client Satisfaction, ~~communications,~~ Compliance, ~~and the Code of Conduct. In addition, the Manuals set forth standards regarding the use of the~~ Proprietary Marks, ~~signage, communications, privacy principles, processing procedures, and the Compensation Reference Guide (defined below). privacy policies, signage, the Code of Conduct, and the Individual Treatment Policy.~~

As our franchisee, you would be an Independent Advisor and you would offer the Products & Services to clients. The Products & Services that Independent Financial Advisor Businesses offer include: (i) investment certificates, stocks, and other securities, financial products, investments, life insurance and annuity policies, contracts and other insurance products, and other products; and (ii) financial planning, advisory, securities brokerage, and/or other financial services.

We divide with you, the revenues received from the sale of all Products & Services and all other income of every kind and nature related to the Independent Financial Advisor Business (“**Compensation**”), as follows. During each Accounting Period (defined below), we will provide you with a statement showing the financial activity for Products & Services and various long-term compensation items, detailing the Compensation for the prior Accounting Period. From the Compensation, we: (i) retain a percentage of the Compensation, as specified in the Manuals ~~(the “~~**Compensation Reference Guide**~~”)~~; (ii) pay to your Franchise Consultant (“**Consultant**”) the percentage of the Compensation specified in the Franchise Consulting Services Agreement (defined below); (iii) pay to your Registered Principal (defined below) the amount specified in the **Compliance** Supervision Agreement (defined below); and (iv) pay to you, the balance of the Compensation after deducting any fees (including the Association Fee (defined below)), interest, and other monies due to us for services authorized by you and/or deductions provided for in the Franchise Agreement. See Item 6 for a description of these expenses that may be applicable to the Independent Financial Advisor Business.

Independent Advisors have the option to negotiate an agreement with Consultants for leadership services (collectively, “**Consulting Agreements**”). The Consulting Agreement sets forth services to be provided to the Independent Advisor by Consultant, such as advisor business planning, coaching, and marketing services. Consultants receive a fee or percentage of Compensation for services they provide to Independent Advisors and some Consultants may solicit individuals to join our System.

All Independent Advisors are associated persons of Ameriprise Financial Services, LLC and must be supervised by a registered principal ~~(the “~~**Registered Principal**~~”)~~ (or other compliance officials as designated below) in the System. Each Independent Advisor must enter into an agreement with a Registered Principal or Ameriprise Financial for purposes of compliance supervision ~~(the “~~**Compliance**~~—~~**Supervision Agreement**~~”)~~. A Registered Principal maintains an Office of Supervisory Jurisdiction in accordance with the rules and regulations of FINRA (defined below), the Securities and Exchange Commission, and the policies and procedures in the Manuals. Registered Principals are registered individuals responsible for supervising Independent Advisors to ensure that Independent Advisors comply with securities, insurance, and other regulatory requirements. Registered Principals are authorized by us to provide these services to Independent Advisors under the System. Registered Principals are generally franchisees that operate under the Franchise Agreement and the Registered Principal Agreement, which is Addendum 2 of the Franchise Agreement ~~(the “~~**Registered Principal Addendum**~~”)~~, or are employees of Ameriprise Financial.

Independent Advisors must pay a fee for their compliance supervision, which will be determined by Ameriprise Financial as a flat fee. The factors that will determine the ~~fee for~~ compliance supervision ~~are~~ **fee include**: the expected sales volume, record keeping costs, **Independent Advisor’s** compliance record ~~of the Independent Advisor~~, and the Registered Principal’s time required in providing services. Ameriprise Financial must approve all Registered Principals. If an Independent Advisor does not have a Registered Principal for **compliance** supervision, we will appoint one of our employees to act as a supervisor, for a fee. Since Registered Principals receive a fee for services they provide to Independent Advisors, some Registered Principals may solicit individuals to join our System.

Franchisees, Consultants, and Registered Principals may receive from Ameriprise Financial, a **bonus or** referral fee ~~or bonus~~ based on the production generated at the prior firm of each prospective franchisee who they refer to us and who becomes an Ameriprise Financial franchisee. Consultants and other Franchisees may also negotiate to receive a portion of Compensation earned by the prospective franchisee. Other employees of Ameriprise, independent contractors, or employees and contractors of franchisees may also receive referral fees when they refer prospective franchisees that join the System.

ITEM 2 BUSINESS EXPERIENCE

William J. Williams

*Executive Vice President - ~~The Personal Advisors Group~~, Ameriprise Franchise **Group**:*

Mr. Williams has been our Executive Vice President - ~~The Personal Advisors Group~~, Ameriprise Franchise **Group**

since January 2010. From January 2008 to January 2010, Mr. Williams was our Senior Vice President - Franchise Advisors. From October 2005 to January 2008, Mr. Williams was our Senior Vice President - U.S. Advisor Group - Central/Western Region.

Patrick H. O'Connell

Executive Vice President - Ameriprise Advisor Group and Ameriprise Financial Institutions Group:

Mr. -Central/Western Region-

O'Connell has been our Executive Vice President - Ameriprise Advisor Group and Ameriprise Financial Institutions Group since January 2013. From January 2009 to January 2013, Mr. O'Connell was our Senior Vice President - Ameriprise Advisor Group. From January 2002 to December 2008, Mr. O'Connell was our Group Vice President.

Jay Mcanelly

Group Vice President - Ameriprise Financial Institutions Group:

Mr. Mcanelly has been our Group Vice President - Ameriprise Financial Institutions Group since August 2017. From May 2010 to August 2017, Mr. Mcanelly was the President and CEO - Non-Interest Income Opportunity Expert for Financial Institutions of Investment Professionals, Inc. in San Antonio, Texas.

Gary W. Gassmann

Franchise Regional Vice President:

Mr. Gassmann has been our Franchise Regional Vice President since January 2008. From June 2002 to January 2008, Mr. Gassmann was our Group Vice President.

Richard Scott Hirsh

Franchise Regional Vice President:

Mr. Hirsh has been our Franchise Regional Vice President since March 2016. From May 2013 to March 2016, Mr. Hirsh was our Field Vice President. From March 2011 to May 2013, Mr. Hirsh was our Divisional Vice President-Business Development.

Michael Lawson

Franchise Regional Vice President:

Mr. Lawson has been our Franchise Regional Vice President since July 2011. From 2000 to 2011, Mr. Lawson was our Field Vice President.

Thomas M. North II

Franchise Regional Vice President:

Mr. North II has been our Franchise Regional Vice President since July 2015. From 2002 to 2015, Mr. North II was our Field Vice President.

Francis (Tres) Rouquette III

Franchise Regional Vice President:

Mr. Rouquette III has been our Franchise Regional Vice President since January 2008. From January 2007 to January 2008, Mr. Rouquette III was our Group Vice President. From August 1998 to January 2007, Mr. Rouquette III was our Field Vice President.

Patricia Moll

Mr. Rouquette III was our Field Vice President.

~~Barry Stockdale~~

Franchise Regional Vice President:

Mr. StockdaleMs. Moll has been our Franchise Regional Vice President since January 2008December 2021. From January 2000September 2008 to December 2007, Mr. Stockdale2021, Ms. Moll was our Field Vice President.

James M. Cracchiolo

Chairman and Chief Executive Officer of Ameriprise Financial, Inc.:

Mr. Cracchiolo has been the Chairman and Chief Executive Officer of Ameriprise Financial, Inc., the Parent company of Ameriprise Financial Services, LLC, since September 2005.

Joseph E. Sweeney

President and Chief Executive Officer:

Mr. Sweeney has been our President and Chief Executive Officer since April 2015. From June 2009 to April 2015, Mr. Sweeney was our President - Advice & Wealth Management, Products and Service Delivery. From June 2005 to June 2009, Mr. Sweeney was our President - Financial Planning, Products & Services.

Kelli Hunter Petruzillo

Executive Vice President - Human Resources:

Ms. Hunter has been our Executive Vice President - Human Resources since June 2005.

Karen Wilson Thissen

Executive Vice President and General Counsel:

Ms. Wilson Thissen has been our Executive Vice President and General Counsel since January 2017. From January 2014 to December 2016, Ms. Wilson Thissen was our Executive Vice President and Deputy General Counsel. From May 2009 to December 2013, Ms. Wilson Thissen was our Senior Vice President and Assistant General Counsel.

Gerard Smyth

Executive Vice President and Chief Information Officer:

Mr. Smyth has been our Executive Vice President and Chief Information Officer since August 2020. From August 2013 to August 2020, Mr. Smyth was our Executive Vice President - Advice & Wealth Management, Technology. From August 2007 to August 2013, Mr. Smyth was our Senior Vice President - Advice & Wealth Management, Technology. ~~Mr. From 2003 to August 2007, Mr. Smyth was our Vice President - Technology from 2003 to August 2007.~~

~~**Charles (Neal) Maglaque**~~~~**Dawn Cooper**~~

~~*Executive Vice President and Chief Operating Officer- Service & Operations:*~~

~~Mr. MaglaqueMs. Cooper has been our Executive Vice President and Chief Operating Officer- Service & Operations since January 2010.November 2018. From May 2006 to January 2010, Mr. MaglaqueMarch 2016 to November 2018, Ms. Cooper was our Senior Vice President - The Personal Advisors Group - Business Planning & OperationsService. From January 2015 to March 2016, Ms. Cooper was the Global Head of Client for Citi in New York, New York. From November 2012 to January 2015, Ms. Cooper was the Managing Director - Retail Contact Centers for Citi in New York, New York. From February 2008 to March 2010, Ms. Cooper was the Co-Sponsor Contact Center Redesign and Head of Financial Advice & Solutions for USAA.~~

Michael R. Greene

Senior Vice President - Business Development Group and Financial Planning:

Mr. Greene has been our Senior Vice President - Business Development Group and Financial Planning since December 2010. From March 2009 to December 2010, Mr. Greene was our Vice President - Advisor Business Development Group. From July 2006 to March 2009, Mr. Greene was our Vice President - Financial Planning.

~~**Kim Hoversten**~~

~~*Senior Vice President - The Personal Advisors Group Operations:*~~

~~Mr. Hoversten has been our Senior Vice President - The Personal Advisors Group Operations since January 2016. From October 2012 to January 2016, Mr. Hoversten was our Vice President - The Personal Advisors Group Operations.~~

Erika Perrault

Senior Vice President - Program and Field Implementation:

Ms. Perrault has been our Senior Vice President - Program and Field Implementation since August 2018. From October 2015 to August 2018, Ms. Perrault was our Vice President - Program and Field Implementation. From January 2009 to October 2015, Ms. Perrault was our Vice President - Field Implementation and Training.

Jeff Soderstrom

Senior Vice President - Risk Mitigation:

Mr. Soderstrom has been our Senior Vice President - Risk Mitigation since July 2018. From June 2009 to July 2018, Mr. Soderstrom was our Vice President - Risk Mitigation.

Walter Berman

Executive Vice President and Chief Financial Officer:

Mr. Berman has been our Executive Vice President and Chief Financial Officer since 2001.

~~**John Woerner**~~

~~*Executive Vice President and Chief Strategy Officer:*~~

~~Mr. Woerner has been our Executive Vice President and Chief Strategy Officer since March 2005.~~

Manish P. Dave

Senior Vice President - Business Development and Advisor Recruiting:

Mr. Dave has been our Senior Vice President - Business Development and Advisor Recruiting since September 2006.

Joseph D. Fleming

Senior Vice President - AWM Chief Compliance Officer:

Mr. Fleming has been our Senior Vice President - AWM Chief Compliance Officer since February 2019. From October 2017 to February 2019, Mr. Fleming was our Chief Compliance Officer. From March 2008 to October 2017, Mr. Fleming was the Chief Compliance Officer - Wealth Management of RBC Capital Markets Corporation in Minneapolis, Minnesota.

ITEM 3 LITIGATION

ADVISOR RELATED CLIENT ~~LITIGATIONS~~LITIGATION

~~ITEM 3 LITIGATION~~

Ameriprise Financial is a defendant in approximately 50-75 claims filed each year by clients/customers (out of over 2,000,000 clients). Most of these claims relate to investment products sold by Ameriprise Financial registered representatives. These cases generally involve customer/client allegations of advisor error, negligence, misrepresentation, unsuitability, or fraud relating to market losses. None of these actions either alleged or resulted in any material amounts against Ameriprise Financial. Ameriprise Financial's advisors are largely protected from the costs of these claims by Ameriprise Financial's Errors and Omissions Program, the cost of which is covered by your Errors and Omissions ~~Coverage~~-Fee.

All references to American Express Financial Advisors Inc. ("AEFA"), Ameriprise Advisor Services, Inc. ("AASI"), or H&R Block Financial Advisors ("HRBFA") refer to Ameriprise Financial Services, LLC. All references to American Express Financial Corporation refer to Ameriprise Financial, Inc. All references to IDS Life Insurance Company refer to RiverSource Life Insurance Company. All references to IDS Life Insurance Company of New York refer to RiverSource Life Insurance Co. of New York.

A. Pending Matters:

Below are descriptions of non-routine or class action client-related matters claiming over \$~~45~~,000,000, which must be disclosed:

~~be disclosed:~~

~~Joseph Cassera, Angela Cassera, Jeanette Dunne, Maria Cassera, and Thomas Cassera, and on behalf of their TOD and IRA accounts v. LPL Financial, Inc., Ameriprise Financial Services, Inc., and IFP Securities, LLC, FINRA Case No. 20-03031, filed on September 14, 2020. Claimants allege that former advisor Maziar Monshi, while associated with LPL from 2006 through 2015 and with AFS from 2015 through 2016, recommended unsuitable investments in a number of REITs and BDCs, including FSKR and FS Energy. Claimants request general and compensatory damages of \$3.9 million, lost opportunity costs, rescission, interest, and unspecified punitive damages. The arbitration hearing has been scheduled for December 13–17, 2021.~~

Vicki L. Currie, individually and as Executrix of the Estate of Charles Michael Currie; and Currie Family Holdings, Inc. v. Curtis Edward McNeal; Carrie Beth Randall; McNeal & Randall, a Private Wealth Advisory Practice of Ameriprise Financial Services, Inc.; Ameriprise Financial Services, Inc.; RiverSource Life Insurance Company; American United Life Insurance Company; and Massachusetts Mutual Life Insurance Company, f/k/a Connecticut Mutual Life Insurance Company, Mississippi Circuit Court of Lee County, Case No. CV15-106, filed on October 6, 2015. Plaintiffs are clients who allege that the Ameriprise Financial Defendants wrongfully recommended the replacement of three life insurance policies with two RiverSource Life insurance policies. On May 12, 2015, the insured committed suicide. Plaintiffs allege that RiverSource Life, American United, and Mass Mutual wrongfully refused to pay the death benefits allegedly due under the policies. On May 22, 2019, the Mississippi State Court granted the Ameriprise Financial Defendants' motion to compel arbitration. On June 20, 2019, Plaintiffs filed an appeal of the decision. The Court of Appeals has affirmed the order compelling plaintiffs to arbitrate. Plaintiffs did not seek further review of the Court of Appeals' decision. Therefore, Plaintiffs have accepted the requirement to arbitrate their claims. An arbitration claim has not yet been filed.

B. Concluded Matters:

~~Below are descriptions of~~No concluded legal advisor related client matters, which ~~must~~ are required to be disclosed:

~~Leslie M. Davis, et al. v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 18-00663, filed February 21, 2018. Claimants alleged that Respondents' advisor did not adequately communicate, advise, or execute trades in their accounts. Claimants requested \$15,321.32 in compensatory damages that represent a refund of the wrap fees they paid between September 2015 and July 2017. On October 24, 2018, the FINRA arbitrator awarded claimants \$15,321.32, plus \$212.50 for partial reimbursement of claimants' FINRA filing fee, for a total award of \$15,533.82.~~

~~Selma Melliza v. Ameriprise Financial Services, Inc., FINRA Case No. 17-03206, filed on December 6, 2017. Claimant alleged that Respondent provided unsuitable recommendations to invest in two oil and gas limited~~

partnerships. Claimant requested \$46,006 in compensatory damages, plus punitive damages, and attorney's fees and costs. On May 8, 2018, the FINRA arbitrator awarded claimant \$40,000 in compensatory damages, plus \$600 for reimbursement of claimant's FINRA filing fee.

~~Manuel Melliza v. Ameriprise Financial Services, Inc., FINRA Case No. 17-03203, filed on December 4, 2017. Claimant alleged that Respondent provided unsuitable recommendations to invest in two oil and gas limited partnerships. Claimant requested \$33,402 in compensatory damages, plus punitive damages, and attorney's fees and costs. On May 8, 2018, the FINRA arbitrator awarded claimant \$48,000 in compensatory damages, plus \$600 for reimbursement of claimant's FINRA filing fee.~~

~~Carrie Marie Ford, et al. v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 17-00254, filed on February 2, 2017. Claimants alleged that, from July 2002 to September 2008, Respondents recommended and sold them a number of REITs that were unsuitable and were purchased to generate large commissions and fees. Claimants requested compensatory damages of at least \$75,000 and unspecified punitive damages. On February 22, 2019, the FINRA arbitration panel awarded claimants \$15,000, plus \$8,858.65 in interest, and \$300 for reimbursement of claimants' FINRA filing fee, for a total award of \$24,158.65.~~

~~Tab R. Larson, Personal Representative of the Estate of Kari Lyn Larson, Deceased, et al. v. Ameriprise Financial Services, Inc., FINRA Case No. 16-01613, filed on February 21, 2016. Claimants alleged that Tab and Jan Larson were beneficiaries of decedent Kari Lyn Larson and Respondent wrongfully distributed estate proceeds from the accounts. Claimants' causes of action included: breach of contract and third-party beneficiary cause of action. Claimants requested \$440,158 in compensatory damages, and attorney's fees and costs. On June 21, 2017 the FINRA arbitration panel awarded claimants \$440,158.~~

~~Lesleigh Root v. Ameriprise Financial Services, Inc., FINRA Case No. 15-00363, filed on February 20, 2015. Claimant alleged that Respondent recommended unsuitable investments, including two REITs. Claimant requested \$40,333.81 in compensatory damages. On July 31, 2015, the FINRA arbitrator awarded claimant \$31,156.99 in compensatory damages, plus 7% per annum interest, and \$600 for reimbursement of claimant's FINRA filing fee, for a total award of \$32,856.45.~~

~~Harold B. Wooten, Executor of the Estate of Glenn B. White, Deceased v. Ameriprise Financial Services, Inc., FINRA Case No. 14-03531, filed on November 18, 2014. Claimant, the executor of the deceased client's estate, alleged that from mid-2012 to July 2013, Respondent failed to supervise its advisor and that client funds were misappropriated. On January 19, 2016, the FINRA arbitration panel awarded the estate \$500,000 in compensatory damages and \$1,500,000 in punitive damages, plus \$36,890 in attorney's fees. On February 18, 2016, the parties settled this matter for \$1,750,000.~~

~~Richard A Braun, et al. v. Ameriprise Financial Services, Inc., FINRA Case No. 14-02133, filed on July 23, 2014. Claimants alleged Respondent discouraged them from purchasing a stock that subsequently increased in value, misinformed them about the premium payment schedule for their life insurance, and recommended unsuitable REIT investments. Claimants requested \$200,000 in compensatory damages, as well as interest, and attorney's fees and costs. On August 4, 2015, the FINRA arbitration panel awarded claimants \$30,475 in compensatory damages, plus \$1,523.75 in interest, and \$12,000 in attorney's fees, for a total award of \$43,998.75.~~

~~Marilyn F Booker v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 14-01299, filed on May 2, 2014. Claimant alleged she was not given proper service during and after her divorce, and further alleged that she was not provided information about joint accounts, her ex-husband's retirement accounts, and their children's trust accounts. Claimant's causes of action included: breach of fiduciary duty, failure to supervise, negligence, omission of facts, misrepresentation, and non-disclosure. Claimant requested \$488,395.34 in actual damages and \$500,000 in punitive damages. On December 20, 2017, the FINRA arbitration panel awarded claimant \$200,000.~~

~~Mark Costantini v. Ameriprise Financial, Inc., et al., Magisterial District Court, Bucks County, Pennsylvania, Case No. MJ-07111-CV-0000234-2013, filed on December 12, 2013. Plaintiff alleged Defendants failed to process Federal Required Distribution from a retirement account for which plaintiff had POA. As a result, Plaintiff alleged he incurred a tax penalty. Plaintiff requested \$2,731 in compensatory damages. On January 29, 2014, the judge found in favor of plaintiff and awarded him \$1,082.50.~~

~~Matthew J. Pajestka v. Ameriprise Financial Services, Inc., FINRA Case No. 13-02937, filed on October 25, 2013. Claimant alleged that Respondent's recommendation of margin trading was unsuitable. Claimant's causes of action included: breach of contract, breach of fiduciary duty, and negligence. Claimant requested \$32,946 in compensatory damages. On August 5, 2014, the FINRA arbitrator awarded claimant \$17,400, plus \$600 for reimbursement of claimant's FINRA filing fee, for a total award of \$18,000.~~

~~Michael Sushel v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 13-02736, filed on September 27, 2013. Claimant alleged that Respondents failed to deliver a contract and prospectus for his variable annuity and recommended other unsuitable investments. Claimant requested \$50,000 in compensatory damages. On March 13, 2014, the FINRA arbitration panel awarded claimant \$32,526.39~~

Robert J. Boehm, et al. v. RiverSource Life Insurance Company, et al., Court of Common Pleas, Allegheny County, Pennsylvania, Case No. G.D. 01-008289. Plaintiffs alleged improper sales practices in connection with the sale of a life insurance policy. On September 12, 2013, after a bench trial, Plaintiffs were awarded compensatory damages and attorney's fees, totaling \$432,660.83.

Kelly Curran v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 13-02263, Illinois, filed on August 12, 2013. Claimant alleged Respondents recommended she invest 100% in equities, including allegedly unsuitable leveraged exchange traded funds and options. Claimant further alleged Respondents churned her account. Claimant's causes of action included: failure to supervise, breach of fiduciary duty, violations of FINRA rules and Illinois Securities laws, negligence, and respondeat superior. Claimant requested \$34,724 in compensatory damages. On March 20, 2014, the FINRA arbitrator awarded claimant \$42,844, plus \$600 for reimbursement of claimant's FINRA filing fee, for a total award of \$43,444.

Juliet Miyahara v. Joanne Ritsuko Watanabe, et al., FINRA Case No. 13-01740, filed on July 15, 2013. Claimant alleged that Respondents recommended unsuitable investments, including a portfolio too heavily invested in equities and a REIT. Claimant requested \$25,000 in compensatory damages. On September 9, 2014, the FINRA arbitrator awarded claimant \$15,000, plus interest and reimbursement of claimant's FINRA filing fee, for a total award of \$17,322.88.

Patricia McNamara, et al. v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 13-01087, filed on May 23, 2013. Claimants alleged that while the decedent client was terminally ill, Respondents advised him to place \$63,161.90 into decedent's existing IDS LP Plus policy in order to receive a guaranteed 4% return. Claimants further alleged that Respondents failed to disclose that if decedent died within the first year of the policy, Claimants would only receive the face value of the policy and not the additional \$63,161.90. Claimants causes of action included: insurance code violations, deceptive trade or practices violations, and respondeat superior. Claimants requested compensatory damages, exemplary damages, interest, fees, and costs. On December 12, 2014, the FINRA arbitration panel awarded claimants \$53,688 in compensatory damages, plus \$9,970.29 in interest, \$1,899.16 in costs, \$71,852 in attorney's fees, and \$300 for reimbursement of claimants' FINRA filing fee, for a total award of \$137,709.45.

Dorothy Allan, on behalf of her Individual Retirement Account v. Ameriprise Financial Services, Inc., FINRA Case No. 13-00982, filed on April 12, 2013. Claimant alleged that Respondent recommended she invest in an unsuitable REIT. Claimant requested compensatory damages of less than \$50,000, plus unspecified costs and fees. On January 17, 2014, the FINRA arbitration panel awarded claimant \$10,808.27 in compensatory damages, plus interest and costs, for a total award of \$18,922.86.

Fred Bauries v. Ameriprise Financial Services, Inc., FINRA Case No. 13-00829, New York, filed on March 25, 2013. Claimant alleged Respondent recommended he invest his IRA proceeds in the Behringer Harvard Opportunity REIT and later invest an additional \$2,000 in the Inland American REIT. Claimant further alleged these investments were not suitable for him and that Respondent omitted liquidity information when Respondent recommended the investment. Claimant requested compensatory damages of \$42,000, plus fees and costs. On August 29, 2013, the FINRA arbitration panel awarded claimant \$25,218.06, plus \$300 for reimbursement of claimant's FINRA filing fee.

Kevin Hardesty v. RiverSource Distributors, Inc., et al., FINRA Case No. 13-00001, Oregon, filed on February 19, 2013. Claimant alleged he was not informed that there would be a tax consequence when he requested a partial surrender of his VUL policy. Claimant requested \$23,153.00 in compensatory damages. On October 4, 2013, the FINRA arbitrator entered an award in favor of claimant and against RiverSource Distributors, Inc. of compensatory damages in the amount of \$23,153, plus \$212.50 for partial reimbursement of claimant's FINRA filing fee. All claims against Respondent Gary Jurden were denied in their entirety and expungement awarded.

Franck Derunes, et al. v. Ameriprise Financial Services, Inc., FINRA Case No. 13-00290, California, filed on February 4, 2013. Claimants alleged that Respondent, through its agent, made misrepresentations and recommended an unsuitable \$40,000 investment in an Inland American REIT in December 2008. Claimants requested rescission of their Inland American REIT, damages of less than \$50,000, costs of arbitration, and fees. On August 21, 2013, the FINRA arbitration panel awarded claimants \$18,488, plus \$600 for reimbursement of claimants' FINRA filing fee.

Catherine Haas v. John Hughes, et al., FINRA Case No. 12-03595, New York, filed on October 22, 2012. Claimant alleged that Respondents proposed an unsuitable strategy of using 403(b) contributions to reduce the client's income to the 15% tax bracket and then sell securities without incurring a capital gains tax. Claimant further alleged that Respondents did not respond to her requests for transactions in her account and account updates in a timely manner. Claimant requested \$23,462, plus interest and additional expenses. On April 10, 2013, the FINRA arbitration panel awarded claimant \$19,454 in compensatory damages, plus interest, and \$425 for reimbursement of claimant's FINRA filing fee.

Helen S. Hall v. Ameriprise Financial Services, Inc., FINRA Case No. 12-02957, New York, filed on August 27, 2012. Claimant alleged unsuitable investments and adverse tax consequences, including the sale of a qualified variable annuity and non-qualified non-proprietary mutual funds. Claimant requested \$10,752 in compensatory damages, fees, costs, and interest. On June 24, 2013, the FINRA arbitration panel awarded claimant \$10,753, plus interest, recovery of \$78.81 in costs, and \$11,600 in attorney's fees, for a total award of \$23,256.96.

Robert L. Cox v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 12-02507, Missouri, filed on July 18, 2012. Claimant alleged that in late 2005 and 2006, Respondent made unsuitable recommendations to invest in variable life insurance policies, annuities, and REITs. Claimant requested rescission of the \$750,000 of REITs, VUL policies and an annuity, return of principle, interest, fees, and commissions. On October 21, 2013, the FINRA arbitration panel awarded claimant \$111,824 for relinquishment of commissions, plus \$14,000 in expert witness fees, and \$600 for reimbursement of claimant's FINRA filing fee. In addition, Ameriprise was ordered to buy-back claimant's 3 REITs in the amount of \$650,000, and accordingly, claimant was ordered to convey ownership of the 3 REITs to AFSI plus pay AFSI any and all amounts he received in dividends or distributions on the REITs during his ownership, totaling approximately \$225,000.

Richard W. Schipper, Sr., Trustee of The Richard W. Schipper, Sr. Trust DTD 8/27/97, et al. v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 12-00812, filed on March 14, 2012. Claimants alleged that they were sold unsuitable variable annuities and variable universal life policies and that their accounts were churned. Claimants' causes of action included: fraud, gross negligence, and failure to supervise. Claimants requested \$159,025.45 in out-of-pocket losses, lost opportunity damages of approximately \$941,000, plus an unspecified amount in exemplary and punitive damages. On October 2, 2013, the FINRA arbitration panel awarded claimants \$20,000, plus interest, and \$600 for reimbursement of claimants' FINRA filing fee, for a total award of \$21,248.

Albertus Niehuis, Jr., et al. v. Ameriprise Financial Services, Inc., FINRA Case No. 12-00363, filed on February 27, 2012. Claimants alleged that unsuitable recommendations were made to invest in three Tenant-In-Common (TIC) properties in 2008. Claimants further alleged that AFSI failed to conduct reasonable due diligence on the investments and failed to supervise the advisor. Claimants requested damages of at least \$1,034,000, plus an unspecified amount in punitive damages. On May 1, 2014, the FINRA arbitration panel awarded claimants \$895,000 in compensatory damages, plus \$30,000 in costs, and \$240,000 in attorney's fees. In addition, claimants were ordered to return the two remaining TIC investments to Ameriprise.

John Flynn, et al. v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 1103230, Michigan, filed on August 31, 2011. Claimants alleged Respondents advised them to transfer stock from a previous employer into their AFSI IRA account. In 2009, Claimants learned that they would have to pay in excess of \$12,000 in taxes and penalties for the transfer of the stock. As a result, Claimants alleged they were forced to sell the stock near or at the market low, for a loss of approximately \$85,000. Claimants requested \$98,000 in compensatory damages, plus punitive damages, interest, fees, and costs. After a hearing on the merits, on December 12, 2012, the FINRA arbitration panel awarded claimants \$126,130.30.

Brian Williams v. Ameriprise Financial Services, Inc., FINRA Case No. 11-02507, Minnesota, filed on July 25, 2011. Claimant alleged that his former advisor induced him to purchase \$75,000 in an outside real estate investment called TDAG. Claimant's causes of action included: rescission under the Ohio Securities Act, fraud, and failure to supervise. Claimant requested an award of rescission of the transactions and compensatory damages in the amount of \$75,000. After a hearing on the merits, on October 29, 2012, the FINRA arbitration panel awarded claimant \$37,500.

Lawrence R. Stone, et al. v. Ameriprise Financial Services, Inc., FINRA Case No. 11-00984, Washington, filed on March 21, 2011. Claimants alleged that Respondent recommended unsuitable investments, including equities and a REIT. Claimants' causes of action included: breach of fiduciary duty, negligent misrepresentation, violation of securities act, fraud, breach of contract, and negligent supervision. Claimants requested unspecified compensatory and punitive damages. After a hearing on the merits, on April 18, 2012, the FINRA arbitration panel awarded claimants \$10,000, plus \$300 for reimbursement of claimants' FINRA filing fee.

Shahin Aarabi v. Yousef Jamshidipour, et al., FINRA Case No. 09-05316, California, filed on October 12, 2009. Claimant alleged that she was sold unsuitable investments, including variable annuities and speculative securities traded on margin. Claimant requested compensatory damages in the amount of \$150,000 and punitive damages in the amount of \$350,000. On April 17, 2013, the FINRA arbitration panel awarded claimant \$66,356 in compensatory damages, plus interest, and recovery of \$15,000 in expert witness fees, \$1,000 in mediation fees, and \$300 for reimbursement of claimant's FINRA filing fee, for a total award of \$82,656.

FIELD SALES FORCE RELATED ~~LITIGATIONS~~LITIGATION

Over each of the past 10 years, Ameriprise Financial has had approximately 5 to 12 civil lawsuits or FINRA arbitrations filed against it by current or former employees of its corporate office, field support personnel, or by members of the field sales force (members of the field sales force may be either Employees or Independent Contractors of Ameriprise Financial). Most of these lawsuits or FINRA arbitrations have ~~involved~~alleged claims of discrimination under ~~state and~~ federal and state anti-discrimination statutes, as well as other employment-related claims for ~~emotional distress, negligence,~~ breach of contract, breach of good faith and fair dealing, emotional distress, fraud, negligence, and unfair and deceptive practices. This type of litigation filed by corporate office employees or field personnel generally has no material or threatened material impact on Ameriprise Financial and thus, Ameriprise Financial has not specifically described those cases.

A. Pending Matters:

Below are descriptions of ~~the pending lawsuit~~employee or ~~FINRA arbitrations~~field sales force related matters, which must be disclosed:

~~Sean D. Caston v. Ameriprise Financial Services, LLC, FINRA Case No. 21-01175, filed on May 14, 2021. Claimant is,~~ a former franchise advisor ~~that,~~ requests a correction of the CRD record related to his Form U5. Claimant requests possible recovery of unspecified damages and legal fees.

~~Raymond J. Sicard III v. Ameriprise Financial Services, Inc., FINRA Case No. 21-01673, filed April 30, 2021. Claimant is a former employee advisor that alleges Ameriprise Financial made improper disclosures on his CRD record related to a Massachusetts Undertakings and Representations and Consent to Entry of Order he signed on March 25, 2019. Claimant alleges that as a result of this disclosure, he has lost employment opportunities and incurred legal fees, and has requested damages of no less than \$100,000.~~

~~Timothy Plungis v. Coastal Wealth Management, Jason Cerniglia, and Ameriprise Financial, Inc., Connecticut State Court, File No. KNL-CV-20-6044703-S, filed January 7, 2020. Former Associate Financial Advisor, Jason Plungis, brings this litigation against his sponsoring franchise advisor, Jason Cerniglia, alleging breach of contract, promissory estoppel, unjust enrichment, intentional infliction of emotion distress, and interference with business relationship. Plaintiff seeks damages in an unspecified amount. Ameriprise Financial filed a Motion to Dismiss or to Compel Arbitration. Plaintiff voluntarily filed a FINRA Arbitration Statement of Claim, FINRA Case No. 20-03872, on November 20, 2020. Ameriprise Financial filed its Statement of Answer on January 14, 2021. The arbitration hearing has been scheduled for November 30 – December 3, 2021.~~

~~Robert Peter Petrocine v. David C. Turetzky, John T. Leahy, Marlene C. Yacenda, and Ameriprise Financial Services, LLC, et al., FINRA Case No. 20-03775, filed on December 1, 2020. Claimant is a former employee advisor alleging he suffered a hostile work environment and ultimately further alleging Respondents terminated him because he reported Respondents' alleged misconduct of forcing clients to change their commission-based accounts into fee-based accounts for the purpose of generating more revenue. Claimant's claims causes of action include: civil Racketeering racketeering and RICO, New Jersey Conscientious Employee Protection Act, Americans with Disabilities Act, negligent supervision, and constructive discharge. Claimant requests damages in excess of \$46,343,696, plus unspecified punitive damages. The arbitration hearing has been scheduled for various days between January 12 – May 6, 2022.~~

~~Daniel Schreiner v. Ameriprise Financial Services, Inc. and Stephen M. Ross, FINRA Case No. 19-03119, filed October 17, 2019. Former Associate Financial Advisor, Daniel Schreiner, alleges he was wrongfully terminated and that respondents filed a false and defamatory Form U5. The arbitration hearing is scheduled for November 2 – November 5, 2021.~~

~~Mark Drouillard v. Joseph P. Foy, Jr., Paul S. Leonard, and Ameriprise Financial Services, Inc., Oakland County Circuit Court, Michigan, Case No. 2019-172088 CB, filed July 18, 2019. Plaintiff is a former franchise advisor alleging that the two individual defendants signed a confidentiality and non-compete agreement with him, representing that they would terminate their relationship with Ameriprise Financial and go with plaintiff to a new broker-dealer. Plaintiff further alleges that the individual defendants left him and the new broker-dealer and began servicing his accounts in violation of the agreement. Plaintiff requests declaratory judgment that plaintiff is owner of his clients and damages in excess of \$25,000 plus interest, costs, and attorney fees. On December 19, 2019, the court granted Ameriprise Financial's motion to compel arbitration, and a FINRA arbitration claim was filed on January 22, 2020, FINRA Case No. 20-00202. The arbitration hearing has been postponed for a mediation scheduled for October 28, 2021.~~

~~Timothy Carl Satre v. Ameriprise Financial Services, Inc., David Dick, and David Wilson, FINRA Case No. 19-01096, filed April 24, 2019. Claimant is a former franchise advisor alleging that respondent, Ameriprise Financial Services,~~

~~Inc., breached the franchise agreement upon his departure from Ameriprise Financial. Claimant requests damages in excess of \$200,000. The arbitration hearing is in the process of being rescheduled.~~

~~Vallandingham v. Ameriprise Financial, Inc., West Virginia State Court, Case No. 10C221, filed August 23, 2010. Third-party Plaintiff purchased a practice from an Ameriprise Financial franchise advisor. The purchasing advisor alleged that the selling advisor engaged in certain practice irregularities that resulted in customer complaints. Third-party Plaintiff alleged that the customer complaints should have resulted in amendments to the selling advisor's Form U4, he relied on the Form U4 when deciding to manage the business purchased from the selling advisor. Third-party Plaintiff further alleged violation of NASO Rule 3010, negligence, breach of contract, and unjust enrichment. Third-party Plaintiff requested an unspecified amount in damages. The two-week trial was completed in November 2013, post-trial briefs were submitted in January 2014. We await the judge's decision.~~

B. Concluded Matters:

Below are descriptions of ~~the concluded lawsuit employee or FINRA arbitrations~~ field sales force related matters, which must be disclosed:

~~Bart Tarulli v. Ameriprise Financial Services, Inc., USDC-SDNY 1:19-cv-02039, filed March 5, 2019. Plaintiff is a former franchise advisor alleging that defendant wrongfully terminated him for two mutual fund purchases without client authorization. Plaintiff alleges breach of contract, discriminatory behavior, failure to monitor his registered principal, libelous statements on his Form U5, and wrongful termination. On September 18, 2018, the FINRA arbitration panel denied claimant's monetary claims in their entirety and recommended expungement changing the termination explanation. Claimant filed a motion with the New York state court seeking to vacate the arbitration award on October 19, 2018. The matter was removed to federal court on March 5, 2019, and Defendant filed a motion to dismiss on March 12, 2019. By Order, dated September 24, 2020, the Court granted Defendant's motion and dismissed the appeal.~~

~~Erik Brenner, et al. v. Ameriprise Financial Services, Inc., FINRA Case No. 16-02759, filed February 7, 2019. Claimants are former franchise advisors, Erik Brenner and Elizabeth Foley, alleging that respondent breached the franchise agreement by improperly retaining fees. Claimants requested damages in excess of \$150,000. On January 19, 2020, the FINRA arbitration panel awarded claimants \$164,411.10 in damages, pre-judgment interest at 4%, and \$300 for half of claimant's FINRA filing fee.~~

~~Ameriprise Financial Services, Inc. v. Sonya Saskin v. Ameriprise Financial Services, Inc., FINRA Case No. 18-03520, filed on October 9, 2018. Saskin, a former franchise advisor, filed a counterclaim against Ameriprise, alleging breach of the franchise agreement, breach of covenant of good faith and fair dealing, unjust enrichment, unfair competition, and tortious interference with business relationships. Saskin requested an unspecified amount in damages. The parties settled this matter in 2018.~~

~~Laurence Pierron v. Jennifer Karleen Ibarguen and Ameriprise Financial Services, Inc., FINRA Case No. 18-00523, filed March 3, 2018. Claimant is a former employee advisor who alleged that respondent deceptively enticed him to join the firm. Claimant further alleged that respondent defamed him and altered his Form U4 without his consent. Claimant requested \$2,500,000 in compensatory damages and \$4,000,000 in punitive damages. On June 26, 2019, the FINRA arbitration panel dismissed claimant's claims and further ordered respondent to file an amended Form U5 on behalf of claimant.~~

~~Ameriprise Financial Services, Inc. v. Silverman v. Ameriprise Financial Services, Inc., FINRA Case No. 17-02291, filed August 25, 2017. Ameriprise filed a FINRA statement of claim against former employee advisor, Silverman, for balance due on a promissory note. Silverman filed a counterclaim against Ameriprise on October 13, 2017, alleging promissory fraud, fraudulent inducement, negligent misrepresentation, negligence, breach of contract/ breach of the covenant of good faith and fair dealing, violations of New York Wage Theft Prevention Act, and unjust enrichment. Silverman requested damages in excess of \$1,000,000. On August 6, 2019, the FINRA arbitration panel awarded Ameriprise Financial \$358,891.03 i n d a m a g e s plus interest, \$211,821.30 in attorney's fees, and \$60,544.33 in costs. Silverman's counterclaims were denied. On October 16, 2019, Silverman filed a motion to vacate the award in the Southern District of New York. The Court denied Silverman's request to vacate the award and granted Ameriprise Financial's request to confirm on December 11, 2019. Silverman filed an appeal of the decision with the United States Court of Appeals for the Second Circuit on January 9, 2020. A settlement was reached on February 6, 2020. Silverman filed a motion to dismiss the appeal on February 11, 2020 and the case was dismissed by the court on February 12, 2020.~~

~~Lawrence Dominick Sangirardi v. Ameriprise Financial Services, Inc., FINRA Case No. 17-01713, filed July 31, 2017. Claimant is an active franchise advisor who alleges that he is entitled to exercise 4,544 Options that were granted to him from 2007-2009, when he was an employee advisor. Claimant requested damages equal to the value of 4,544 Options plus interest and unspecified punitive damages. On August 28, 2018, the FINRA arbitration panel awarded claimant \$202,500.~~

~~Ameriprise Financial Services, Inc. v. Taber v. Ameriprise Financial Services, Inc., FINRA Case No. 17-01870, filed July 14, 2017. Ameriprise filed a FINRA statement of claim against former employee advisor, Taber, for balance due on a promissory note. Taber filed a counterclaim against Ameriprise Financial on September 6, 2017, alleging wrongful termination, intentional interference with contract, intentional interference with prospective business advantage, breach of contract, and libel. Taber requested damages in excess of \$4,500,000. On October 25, 2018, the FINRA arbitration panel awarded Ameriprise Financial \$608,143.86 in damages plus interest and \$30,000 in attorney's fees. Taber's counterclaim was denied.~~

~~Ameriprise Financial Services, Inc. v. Mosley v. Ameriprise Financial Services, Inc., FINRA Case No. 17-00940, filed April 12, 2017. Ameriprise filed a FINRA statement of claim against former franchise advisor, Mosley, for the balance due on a promissory note. Mosley filed a counterclaim against Ameriprise on June 7, 2017, alleging wrongful termination of the franchise. On November 12, 2019, this matter was settled whereby Mosley dismissed his counterclaim.~~

~~Ameriprise Financial Services, Inc. v. Barker v. Ameriprise Financial Services, Inc., FINRA Case No. 16-01831, filed June 24, 2016. Ameriprise filed a FINRA statement of claim against former employee advisor, Barker, for the balance due on promissory note. Barker filed a FINRA statement of claim, FINRA Case No. 16-01832, against Ameriprise on June 23, 2016, alleging defamation and unjust enrichment. Barker requested damages in an unspecified amount. The two FINRA cases were combined into one, FINRA Case No. 16-01831. On June 1, 2018, the FINRA arbitration panel awarded Barker \$550,000 in damages and awarded Ameriprise \$297,152.14 in damages, plus attorney's fees.~~

~~Jack W. Griffith, Jr. v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 14-03361, filed November 5, 2014. Claimant is a former employee advisor who requested entry of a permanent injunction prohibiting Ameriprise Financial, Inc. from pursuing the AAA arbitration matter it filed against claimant, seeking amounts owed by claimant for breach of the Long-Term Incentive Award Agreement (LTIA). Claimant also sought damages under the South Carolina Unfair Trade Practices Act. On April 1, 2016, the FINRA arbitration panel awarded claimant \$382,789.58.~~

~~John W. Chapman v. Ameriprise Financial Services, Inc., et al., FINRA Case No. 14-03371, filed November 5, 2014. Claimant is a former employee advisor who requested entry of a permanent injunction prohibiting Ameriprise Financial, Inc. from pursuing the AAA arbitration matter it filed against claimant, seeking amounts owed by claimant for breach of the Long-Term Incentive Award Agreement (LTIA). Claimant also sought damages under the South Carolina Unfair Trade Practices Act. On April 6, 2016, the FINRA arbitration panel awarded claimant \$123,749.70.~~

~~Michael Boyd Higgins v. Ameriprise Financial Services, Inc., FINRA Case No. 11-02575, filed June 2011. Claimant alleged breach of contract relating to technology and support problems. On July 17, 2012, the FINRA arbitration panel awarded claimant \$88,500.~~

~~Tappan Merrick v. Dean McGill, Ameriprise Financial Services, Inc., et al., California, Santa Clara Superior Court, Case No. 111CV198069, filed April 6, 2011. Plaintiff is a former franchise advisor who alleged that defendants tortuously interfered with his franchise transfer agreement that he entered into with another Ameriprise advisor, Robert Stern. Plaintiff further alleged that defendants fraudulently represented to Robert Stern that his agreement with plaintiff constitutes "selling away" and that defendants fraudulently obtained property through threat to unlawfully injure Robert Stern. Plaintiff requested unspecified injunctive and restitutionary relief, including disgorgement of money or property unlawfully obtained. Plaintiff re-filed his claim with FINRA, Case No. 11-03423. On December 13, 2012, the FINRA arbitration panel awarded claimant \$81,477.30.~~

~~Russell M. King v. Ameriprise Financial Services, Inc., FINRA Case No. 11-01675, Georgia, filed February 16, 2011. Claimant is a former registered representative of ProEquities, Inc. who alleged a variety of causes of action against respondent, including that in 2010, respondent induced claimant to sell his broker-dealer practice to an Ameriprise Financial registered representative and wrongfully failed to pay claimant for his practice. Claimant requested \$452,887 in damages for the purchase price of his practice, plus other unspecified relief. On August 7, 2012, the FINRA arbitration panel awarded claimant \$288,579.50.~~

Ameriprise Financial brings approximately 5-10 cases each year across the country to enforce its contractual and other legal rights against: (i) former representatives and officers; and (ii) certain competitors, including enforcing post termination covenants in Ameriprise Financial's Franchise Agreement and other standardized contracts. Under these contracts, Ameriprise Financial's representatives and field officers agree to preserve the confidentiality of specified Ameriprise Financial information - including certain client information, and to refrain for one-year post termination from diverting Ameriprise Financial's clients whom they serviced or learned about through Ameriprise Financial. Ameriprise Financial typically obtains injunctive relief enforcing its contracts, plus a monetary settlement or award in its favor.

Financial services firms ~~across the country~~ bring approximately 5-15 cases each year against Ameriprise Financial ~~across the country~~ to enforce contractual and other legal rights arising from Ameriprise Financial's successful recruitment of experienced advisors. These claims are ordinary routine litigation incidental to the recruitment of approximately 300-400 experienced advisors on an annual basis. Claims against Ameriprise Financial are typically filed in FINRA arbitration or ~~state or federal~~ or state court and involve allegations of tortious interference with a non-solicit agreement or inducement to misappropriate trade secrets. These claims typically include a request for damages and may include a request for injunctive relief. This type of litigation filed by financial services firms generally has no material or threatened material impact on Ameriprise Financial and thus, Ameriprise Financial has not specifically described those cases.

During ~~2021~~2020, Ameriprise Financial pursued approximately 26 new collection cases against terminated Independent Advisors for unpaid debt balances. Upon termination, Ameriprise Financial conducts an audit of Compensation to ensure ~~that~~ business submitted prior to termination or default is paid and to allow for all other pending business transactions to post appropriately. When audits reveal unpaid charges and/or reverse commissions, or if there is an outstanding balance on a promissory note, Ameriprise Financial will pursue payment of debt balances with former Independent Advisors. Efforts are made to resolve these matters directly, through a collection agency, and/or through arbitration proceedings.

REGULATORY ACTIONS

Below are descriptions of Regulatory Actions which must be disclosed:

A. SEC and FINRA Actions

In August 2018, Ameriprise Financial reached a settlement with the SEC regarding allegations that from 2011 through 2014 the firm failed to adopt and implement policies and procedures reasonably designed to safeguard retail investor assets against misappropriation and failed to reasonably supervise five representatives with a view to preventing and detecting violations of certain federal securities laws by these representatives. The firm agreed to pay a civil penalty amount of \$4.5 million. The firm further reimbursed all impacted clients for the losses they incurred due to the misconduct. The firm also took steps to enhance policies, procedures, and controls related to the safeguarding of client assets against theft or misappropriation by its associated persons and voluntarily retained a compliance consultant to assess and confirm the reasonableness of these policies, procedures, and controls.

In December 2017, Ameriprise Financial reached a settlement with the SEC regarding allegations that from December 2010 through October 2013, the firm negligently relied on misrepresentations made by F-Squared Investments, Inc. regarding certain of its ETF portfolios and, as a result, the firm made false statements about the portfolios in certain advertisements. The SEC also alleged that the firm had failed to adopt and implement written compliance policies and procedures reasonably designed to prevent the alleged violations. The firm agreed to pay a disgorgement amount of \$6.3 million plus prejudgment interest of \$700,000 and a civil penalty amount of \$1.75 million.

~~\$1.75 million.~~

In September 2016, Ameriprise Financial ~~Services~~ reached a settlement with FINRA regarding allegations that between October 2011 and September 2013 the firm failed to detect and prevent wire transfers from five of its customers to one of its registered representatives. FINRA also alleged this went undetected because the firm failed to establish, maintain, and enforce a supervisory system that was reasonably designed to review and monitor the transmittal of funds from accounts of customers to third parties, including those controlled by registered representatives of the firm. The firm paid restitution plus interest to the impacted customers and a fine of \$850,000.

B. State Securities Actions

No state securities actions are required to be disclosed.

Other than the matters stated above, there is no other litigation that must be disclosed in this Item.

ITEM 4 BANKRUPTCY

No bankruptcy is required to be disclosed in this Item.

ITEM 5 INITIAL FEES

Initial Fee

When you sign the Franchise Agreement, you must pay us an Initial Fee as a lump sum payment. The Initial Fee is \$1,500. This fee is fully earned and non-refundable as consideration of administrative and other expenses incurred by us in entering into the Franchise Agreement. We will also provide an initial orientation program to you as part of the Initial Fee. The Initial Fee is not increased for individuals that are offered the opportunity to sign the Registered Principal Addendum.

For employees of Ameriprise Financial who seek to become an Independent Advisor after a job elimination, we may waive the initial franchise fee, as provided in Addendum 6 to the Franchise Agreement.

Optional Training Programs

We offer various optional training programs. You may wish to attend some of our optional training programs prior to opening the Independent Financial Advisor Business. We estimate ~~that~~ the cost of attending an ~~additional~~optional training program will range from \$0 to \$5,000 (for multiple day workshops) per training program. The payments for optional training programs are non-refundable. ~~See Items 6 and 11 for further details regarding our optional training programs.~~ Some training programs may only be available to Independent Advisors who are enrolled in a specific program or who meet specific program requirements. See Items 6 and 11 for further details regarding our optional training programs. Employees who become Independent Advisors may also attend optional training programs; the cost to these Independent Advisors will range from \$0 to \$5,000 (for multiple day workshops) per training program. Except as otherwise described above, all fees are payable in lump sum.

**ITEM 6
OTHER FEES¹**

Name of Fee ¹	Amount ²	Date Due ³	Remarks
Association Fee ⁴	\$290 per month	Monthly ⁵	
Corporate Office Leads ⁶	Will vary by campaign	~~Upon demand~~ <u>As incurred</u>	Covers various types of optional leads ~~from, such as:~~ direct mail leads ~~and,~~ Corporate Alliance leads, ~~to and~~ pre-screened clients who want a complimentary initial consultation ^{6, 7} .
Technology Access Package ⁸	\$495 per month	Monthly	We offer a Technology Access Package and additional tools a la carte to assist you in operating and managing the Independent Financial Advisor Business.
Additional Software Licenses and Fees for ~~Staff~~ ~~*Staff~~ ⁸	~~\$105~~ <u>\$120</u> to ~~\$400~~ <u>\$445</u> per month per staff member ~~per month~~	Monthly	Technology access for each of franchisee's staff members, if any.
Other Software Licenses and Fees ^{6, 8}	\$20 to \$200 per a la carte item per ~~month~~ ~~per~~ subscription <u>per month</u>	Monthly	We also offer a la carte items that are subscribed per month ~~;~~ items may be per person or practice subscription.
Computer Hardware	\$1,200 to \$2, ~~400~~ <u>600</u> per computer (monthly lease option ~~a la~~ <u>also</u> available)	As incurred	You may purchase a computer through an Ameriprise ~~certified~~ <u>authorized</u> vendor that meets requirements and has required software installed.
Network Equipment ⁷	\$1, ~~200~~ <u>300</u> to \$ ~~26~~ ,000 per device per registered location (monthly lease option also available)	As incurred	To assist you in protecting the Independent Financial Advisor Business, we offer Unified Threat Management devices, a device that is required to protect your internet connection at ~~your~~ <u>the</u> registered ~~location~~ <u>office</u> . We may offer optional support to assist in setting up a network ~~in your~~ <u>at the</u> registered office for an ATS Professional Services Fee.
Network Monitoring	\$25 per <u>month per</u> device ~~per month~~	Monthly	Secure connectivity to the Internet with 24x7x365 monitoring and incidence response, which are required.
Server Maintenance	\$50 for required security software, \$200 to \$500 set-up/installation, \$50 quarterly validation	Monthly	Install and apply firm security patches, only for servers approved for use that meet guidelines in the Manuals.
Computer Software Install Service ²⁷	\$125 to \$300 <u>per transaction</u>	~~Upon demand~~ <u>As incurred</u>	Service to install base proprietary software on computers purchased outside of our vendor provided programs.
ATS Professional Services ^{6, 7}	\$100 per hour, plus ~~travel and~~ expenses <u>and travel</u>	~~Upon demand~~ <u>As incurred</u>	Custom consulting providing assessments and recommendations around technology solutions.
Software Ordered Through <u>Approved</u> Outside Vendors ^{6, 8}	Will vary by Market rates	~~Upon demand~~ <u>As incurred</u>	May require third party tool approval as set forth in the Manuals.
Client Complaint Settlements and Sanctions ⁹	Will vary ~~under circumstances~~ <u>by circumstance</u>	~~Upon demand~~ <u>As incurred</u>	We may assess settlement costs and fines for failure to comply with regulatory requirements and company policies. See Note 9.

Supervision*	\$242 to \$2,233 per month	Upon demand	Covers Centralized Supervision-Unit and Field Registered Principal supervision. Fines may also be imposed for failure to comply with regulatory requirements and company policies. ~~See Note 9.~~

**ITEM 6
OTHER FEES¹**

Name of Fee ¹	Amount ²	Date Due ³	Remarks
<u>Supervision⁹</u>	<u>\$242 to \$2,233 per month</u>	<u>Monthly</u>	<u>Covers Centralized Supervision Unit and Registration Principal supervision. Fines may also be imposed for failure to comply with regulatory requirements and company policies. See Note 9.</u>
Errors and Omissions Fee ¹⁰	\$183.34 (standard) or \$225.02 (supplemental) per ~~month per~~ Independent Advisor <u>per month</u> \$91.66 (standard) or \$120.82 (supplemental) per ~~month per~~ Associate Financial Advisor <u>per month</u>	Monthly ⁵	All advisors and AFAs are automatically enrolled by the corporate office in Standard E&O insurance, which provides \$2M in coverage. Additional limits are available through Supplemental E&O insurance, which provides \$5M in coverage.
Optional Additional Insurance Coverages ^{6, 10}	\$0 to \$825 per ~~year per~~ election <u>per year</u>	~~Upon demand~~ <u>As incurred</u>	Various coverage options to protect against loss and to help ensure the continued operation of the Independent Financial Advisor Business.
Advertising Contributions ^{6, 11}	Will vary by campaign	~~Upon demand~~ <u>As incurred</u>	
Marketing Programs ^{6, 11}	Will vary by program	~~Upon demand~~ <u>As incurred</u>	
Education/Continuing Education ^{6, 13}	\$0 to \$5,000 <u>per course/program</u>	~~Upon demand~~ <u>As incurred</u>	
Business Licenses and Authorizations ¹³	Will vary by license and jurisdiction	~~Upon demand~~ <u>As incurred</u>	Minimum licensing and registrations apply
Registered Staff (Paraplanner) Fees ^{6, 14}	\$260 to \$1,085 per ~~month per~~ Paraplanner <u>per month</u>	Monthly ⁵	
Associate Financial Advisor Fees ^{6, 15}	\$695 to \$2,545 per ~~month per~~ Associate Financial Advisor <u>per month</u>	Monthly ⁵	
Associate Financial Advisor Client Purchase ^{5, 23}	Will vary by client(s)	Monthly ⁵	
Registered Staff (Paraplanner) Client Purchase ^{6, 23}	Will vary by client(s)	Monthly ⁵	
Internal Client Transfer Fee ¹⁶	\$0 to \$350	On or before ~~the~~ date of ~~the~~ proposed transfer	If the transferee will be a new Independent Advisor, the transferee must pay the Initial Fee.
Ameriprise Platinum Financial Services ^{6, 17}	\$1,000 to \$4,000	~~Upon demand~~ <u>As incurred</u>	Optional program
Private Wealth Advisor Program ^{6, 18}	\$4,000 to \$15,000	~~Upon demand~~ <u>As incurred</u>	Optional program
Franchise Consultant Fee ^{6, 19}	\$375 per month, plus \$6 per affiliated advisor per month	Monthly	Optional program

Franchise Consultant Services Fee ^{6, 20}	Minimum of \$200 per month or 1% of GDC equal to \$200 or more	Monthly	Optional program

~~Ticket Charges~~	~~\$2 to \$85 per transaction~~	~~Upon demand~~	~~Covers transaction activity in brokerage/Advisory Solutions.~~
~~Administration Fee²⁶~~	~~.0025% to .26% on Advisory Solutions (Managed Accounts) AUM~~	~~Upon demand~~	~~See Item 19 for information on Standard Administration fees and the Global Admin Fee discount.~~
~~Optional Research Packages^{6, 25}~~	~~\$0 to \$800~~	~~Monthly⁵~~	~~All research is included in the cost of your Technology Access Package. Optional research packages allow access to additional third party research, streaming quotes, and advanced options research.~~

ITEM 6 OTHER FEES¹

Name of Fee ¹	Amount ²	Date Due ³	Remarks
<u>Ticket Charges</u>	<u>\$2 to \$85 per transaction</u>	<u>As incurred</u>	<u>Covers transaction activity in brokerage/Advisory Solutions.</u>
<u>Administration Fee²⁶</u>	<u>.0025% to .26% on Advisory Solutions (Managed Accounts) AUM</u>	<u>As incurred</u>	<u>See Item 19 for information on Standard Administration Fees and the Global Admin Fee discount.</u>
<u>Optional Research Packages^{6, 25}</u>	<u>\$0 to \$800 per package</u>	<u>Monthly⁵</u>	<u>All research is included in the cost of your Technology Access Package. Optional research packages allow access to additional third party research, streaming quotes, and advanced options research.</u>
<u>Optional Services²¹</u>	<u>\$5 to \$10,000</u>	<u>Upon demandAs incurred</u>	

NOTES:

¹ We impose and collect all fees. We collect all fees at the earliest Accounting Period (defined below). We may periodically modify these fees. We impose fees uniformly.

² All fees are non-refundable.

³ During each Accounting Period, we may deduct the Association Fee, Technology Fee, Errors and Omissions Fee, and any other fees, interest, or monies due to us, and/or other deductions provided for in the Franchise Agreement, from your share of the Compensation. “Accounting Period” means each of the two-week accounting periods in a calendar year, as determined by us. During any Accounting Period in which you are not entitled to a portion of the Compensation or your share of the Compensation is less than the monthly fee, you must promptly pay us the amount due.

⁴ We deduct the Association Fee (the “Association Fee”) from Compensation each Accounting Period before you receive your share of the Compensation. The Association Fee includes: a limited license to use the Ameriprise Financial Proprietary Marks; assistance in obtaining and maintaining required licenses; corporate compliance oversight; fidelity bond coverage; field support; national advertising and promotional materials; signage specifications; certain forms; and accounting and payroll services related to the broker-dealer.

⁵ During each Accounting Period (but not in the third Accounting Period in any month that has three Accounting Periods), we will deduct half of the monthly fee from your portion of the Compensation.

⁶ You are not required to participate in these programs and/or obtain these services.

⁷ Optional technology support products and services may be developed and offered through a vendor or the Company for an additional fee, which could exceed the disclosed range, and which will depend upon usage. These fees may be reduced as a part of a selection for additional software. In order to obtain some of our: (i) technology support; (ii) optional services; or (iii) technology troubleshooting and consulting services, you must obtain computer hardware to our exact specifications. Additional software packages, licenses, computing, devices, support services, and network hardware and monitoring are available for additional fees.

⁸ For this fee, we will provide you a single license to use our base proprietary *AdvisorCompass*® software that is used for conducting the Independent Financial Advisor Business (the “Software”). For each additional Associate Financial Advisor, Paraplanner, and other Staff, you will be required to pay the Additional Software License Fee. In order to obtain a non-exclusive, non-transferable, limited, and terminable license to use the Software, you must sign the *AdvisorCompass*® Software License User’s Agreement (the “Software License User’s Agreement” in Exhibit I). Violation of these provisions will result in the penalties described in Franchise Agreement Section 5. This fee helps cover costs associated with processing data and maintaining computer identification and security. While the intent is to provide free support calls within the Technology Access Package, Ameriprise reserves the right to begin billing at \$33 per ticket after advanced notice if a practice’s call rate is deemed excessive. Outdated hardware or software you installed on the machine may result in additional support fees.

From time-to-time, the Company will certify certain software for you to use on your computer as described in Franchise Agreement Section 5 and offered for an additional fee, which could exceed the disclosed range, and which will depend upon usage. Your use of this software is at your discretion and is not supported by the Company.

⁹ The cost of supervision conducted by Registered Principals will vary depending on your sales volume and compliance record. Because these factors vary so widely among Independent Advisors, we provide a wide range. See Item 1 for more information. We may also impose fines for failure to comply with regulatory requirements and company policies.

¹⁰ We deduct the Errors and Omissions Fee from the Compensation each Accounting Period before sending you your share of the Compensation. The cost of the Errors and Omissions Fee per Independent Advisor will vary depending on: (i) the amount of coverage chosen; and (ii) the number of Associate Financial Advisors employed or contracted by Independent Advisor. The initial premium for Errors and Omissions Fee will be \$183.34 per month for \$2,000,000 of coverage per Independent Advisor and \$91.66 per month for \$2,000,000 of coverage for each Associate Financial Advisor employed or contracted by the Independent Advisor. The deductible will be \$10,000. At your option, additional coverage may be purchased for an additional fee. Options include Employment Practices Liability, Team Practice Liability, Franchise Consultant Liability, and Privacy Breach coverage. Your fee will be determined based on coverage selections.

- ¹¹ At your expense and option, you may become a member of a regional or local advertising, promotional campaign, or marketing program. The fee for a campaign or program will be paid upon demand. Your fee to participate in such campaigns or programs will be determined by the size of the campaign, the number of Independent Advisors participating, local or regional market cost factors, and operating expenses.
- ¹² You will have the option of attending continuing education programs for a fee and the fees for these programs will be paid to us or an affiliate upon demand, and will vary by location, format (i.e., instructor vs. computer), and other factors. These fees may be refundable depending on the program. In addition, if you qualify to participate in special optional programs, you may be required to attend additional training for an additional fee. Some training programs may only be available to Independent Advisors who are enrolled in a program or meet specific program requirements.
- ¹³ You will need to pay initial and renewal fees for some of the Business Licenses and Authorizations required by FINRA, Ameriprise Financial, other governmental and regulatory agencies, federal and state securities laws, and insurance laws. This cost will be due as incurred and is non-refundable. Costs may vary depending on the license held and the number of jurisdictions in which you are licensed.
- ¹⁴ At your option, you may hire registered staff (Paraplanner) to assist you with the Independent Financial Advisor Business, subject to the prior approval of Ameriprise Financial and consistent with current Ameriprise Financial policies. The monthly fee will be paid to us for licensing administration, technology, and other costs. Other fees may apply if you opt to license the Paraplanner in multiple states, or opt into additional services and programs. These fees are non-refundable.
- ¹⁵ At your option, you may hire Associate Financial Advisors to assist you with the Independent Financial Advisor Business, subject to the prior approval of Ameriprise Financial and consistent with current Ameriprise Financial policies. The total cost to you will vary depending on the number of Associate Financial Advisors you hire. The non-account-based fees for each Associate Financial Advisor include: association, supervision, technology, Errors & Omissions, and licensing fees. The AFA Association Fee is a monthly fee that includes a limited license to use the Ameriprise Financial Proprietary Marks; licensing administration; corporate compliance oversight; fidelity bond coverage; national advertising and promotional materials; certain forms; and accounting and reporting services related to the broker-dealer. Other fees may apply if you opt to license the AFA in multiple states and/or opt into additional services and programs, or if utilizing a search firm or onboarding services, as determined when the services are requested and may vary depending on scope of the services and programs. These fees are non-refundable.
- ¹⁶ The internal transfer fee is for our costs and expenses associated with administration of reassigning clients when a client transfer is requested. The amount of the fee charged will depend upon the number of clients being transferred, recognizing that Independent Advisors may transfer less than their entire business. The fee will be paid by the acquiring Independent Advisor. These fees are non-refundable.
- ¹⁷ Independent Advisors who qualify, based on specified criteria set forth in the Manuals, may be eligible for this program. Independent Advisors who are eligible and participate in this program are required to incur additional costs for program orientation, training, and other expenses. Independent Advisors may also use the Ameriprise Platinum Financial Services advisor title on stationery and marketing materials, at their expense.
- ¹⁸ Independent Advisors who qualify, based on specified criteria set forth in the Manuals, may be eligible for this program. Independent Advisors who are eligible and participate in this program are required to incur additional costs for enhanced office standards, training, signage, stationery, and marketing materials.
- ¹⁹ Independent Advisors who qualify, based on specified criteria set forth in the Manuals, may be eligible to be a Consultant. As a qualified Consultant, you contract with other Independent Advisors who wish to affiliate with you to receive franchise consulting services. Such services include, but are not limited to: regular coaching sessions; practice management consulting; business and marketing planning support; succession planning support; recruiting; and onboarding support. Fees are intended to cover: home office support; enhanced training and consulting development courses; travel and accommodations to certain conferences regarding franchise consulting services; management of the fee exchange; and reporting access. Independent Advisors who qualify for this program sign an addendum to the Franchise Agreement (Addendum 5).
- ²⁰ If you affiliate with a qualified Consultant for franchise consulting services you will sign a contract between you and the Consultant (for an example, see Exhibit G). Ameriprise Financial collects the agreed-upon consulting fee on behalf of the Consultant from the Compensation, biweekly, whether the consulting fee is based on a flat-fee or commission split.
- ²¹ At your option, various services can be purchased from the corporate office or Consultants to help effectively run the Independent Financial Advisor Business.
- ²² You are required to purchase from us, the clients serviced by an Employee advisor or another Independent Advisor who does not have equity (see Item 14) and who becomes your Associate Financial Advisor, at the time of the Associate Financial Advisor appointment in your business. The fee is generally 2% of the clients' invested assets for immediate equity. This fee will be deducted from the Compensation on a monthly basis over 24 months. Should the Associate Financial Advisor terminate, all remaining payments will be then due.
- ²³ You are required to purchase from us, the clients serviced by an Employee who becomes your registered staff (Paraplanner), at the time of their appointment in your business. The fee is generally 2% of clients' invested assets for immediate equity. This fee will be deducted from the Compensation on a monthly basis over 24 months. Should the Paraplanner terminate, all remaining payments will be then due.
- ²⁴ You will be charged a monthly fee for each person in your business to access an Ameriprise License for Microsoft Office 365.
- ²⁵ You will have the option of purchasing additional investment research tools, such as streaming quotes and advanced options. The fees for these tools will be paid to us or an affiliate and will vary by the tool(s) selected. These fees are non-refundable.
- ²⁶ An Administration Fee (Admin Fee) is a deduction from the Advisory fee amount paid by a client before applying the Payout Rate, as described in Item 19. The cost of the Administration Fee will vary depending on advisory assets under management in Advisory Solutions (Managed Accounts). See Table 12 of Item 19 for more information.
- ²⁷ If you choose to purchase your computer hardware independently, you must purchase a "software install" service to assist you in the installation of our base proprietary software. This service will be performed by our technology support team and the specific fee charged is based on the level of installation support you choose to purchase.

In some states, you may be required to pay state sales tax on products or services you purchase from us. All of the programs, training, and other services described in Item 6 that we offer for a fee may be purchased by Employees who become Independent Advisors. Employees who become Independent Advisors will pay the Association Fee and will be required to enter into an agreement for compliance supervision for a fee that is estimated to range from \$242 to \$2,233 per month.

ITEM 7
YOUR ESTIMATED INITIAL INVESTMENT

Item	Estimated Cost	~~When~~ <u>Date</u> Due	To Whom Paid
Initial Fee (including Initial Orientation) ¹	\$1,500	Upon signing the Franchise Agreement	Us
Office Lease ²	\$0 to \$3,000 per ~~month~~ <u>per office per month</u>	Monthly	Landlord
Association ~~Fees~~ ³ <u>Fee</u> ³	\$290 per month	Monthly	Us
Supervision ⁴	\$242 to \$2,233 per month	Monthly	~~Field-~~ Registered Principal and Us
Technology Access Package ⁵	\$495 per month	Monthly	Us
Additional Software Licenses and Fees for ~~Staff~~ ⁵ <u>Staff</u> ⁵	~~\$105~~ <u>120</u> to ~~\$400~~ <u>445</u> per Staff member per month	Monthly	Us
Other Software Licenses and Fees ⁵	\$20 to \$200 per a la carte ~~item~~ <u>per month</u> ~~per subscription~~ <u>per month</u>	Monthly	Us
Computer Hardware ⁶	\$1,200 to \$2, ~~400~~ <u>600</u> per computer (monthly lease option also available)	As incurred	Us and/or Suppliers
Network Equipment ⁶	\$1, ~~200~~ <u>300</u> to \$ ~~26~~ <u>26</u> ,000 as determined ~~at~~ <u>by</u> Market rates	As incurred	Us and Suppliers
Network Monitoring	\$25 per device per month	Monthly	Approved Vendor
Software Install Service ¹⁸	\$125 to \$300	As incurred	Us
Office Cabling ⁶	\$500 to \$6,000 as determined ~~at~~ <u>by</u> Market rates	As incurred	~~Supplier~~ <u>Suppliers</u>
Start-up Supplies ⁷	Approximately \$100 per month	As incurred	Suppliers
Office Furnishings and Aesthetics ⁸	\$0 to \$50,000	As incurred	Us and Suppliers
Signage ⁹	\$60 to \$7,500	As incurred	Approved Vendor
Business Licenses and Authorizations ¹⁰	\$500 to \$3,000	As incurred	Regulators and Providers
Travel and Entertainment ¹¹	Approximately \$100 per month	As incurred	Suppliers
Support Staff ¹²	\$0 to \$3,400 per month	As incurred	Suppliers
Internet Service, Mobile Communication Devices and Services, Printers, Scanners, and Phone Service ⁶	Approximately \$1,600 to \$21,200 as determined by Market rates	As incurred	Suppliers
Security Deposits ¹³	\$0 to \$3,000	As incurred	~~Utilities and~~ <u>Suppliers</u> ~~Lessors~~
Errors and Omissions Fee ¹⁴	\$183.34 to \$225.02 per ~~month~~ <u>per Independent Advisor per month</u> \$91.66 to \$120.82 ~~per month~~ <u>per Associate Financial Advisor per month</u>	Monthly	Us and/or Suppliers
Optional Training Programs ¹⁵	\$0 to \$10,000	As incurred	Us and Suppliers

Additional Funds - 3 months ¹⁶	~~\$2,911~~ <u>3,256</u> .22 to ~~\$21,586~~ <u>34,321</u> .66	As incurred during the first 3 months of operations	Various
~~TOTAL~~ <u>TOTAL</u>	\$11, ~~089~~ <u>434</u> .22 to ~~\$114,830~~ <u>127,565</u> .50		

NOTES:

¹ This fee is non-refundable. See Item 5 and Item 11 for additional details.

² You may own or lease from a third party. If you lease your space from a third party, you will choose the office size and grade of space (meeting the minimum standards, as described in Item 11) and the cost will vary. If you own your own office space or have existing office space for the Independent Financial Advisor Business (as permitted by Ameriprise Financial policies), you may not need to incur any additional rental expenses.

³ You must pay us the monthly Association Fee.

⁴ The cost of supervision by a Registered Principal will vary depending on your sales volume and compliance record. Because these factors vary so widely among Independent Advisors, we provide a wide range. See Item 1 for more information.

⁵ We will provide various programs and services to you for a fee. Optional software is not required to participate in these programs and/or obtain these services. We may require the use of certain additional software in the future, at your expense.

⁶ You must either purchase or lease computer hardware from your choice of vendor. You may purchase a computer through an Ameriprise- certified vendor that meets requirements and has required software installed. Network equipment will be specified by the Company. You may pay on an installment plan offered by outside vendors. In addition, you may get connectivity to our computer network (with Internet access) either through a Local Area Network (LAN) in our space (where available) or with a secure Internet account. You also will need network and telephone cabling installed in your office to properly operate your computer system. You should also anticipate ongoing monthly charges for telecommunications services and various equipment. Please refer to Item 11 for additional details. You must contract with a phone company for local and long- distance service.

⁷ This estimate covers stationery, business cards, office supplies, and other materials.

⁸ You will need to procure office furnishings, in order to maintain a professional office, in good repair. We provide a wide range to account for Independent Advisors who do not currently have office space, as compared to those with existing office space and furnishings. Actual expense may vary based on number of staff and size of office.

⁹ Each signage order must: be submitted through our approved signage vendor; meet the specifications in the Manuals; and be approved by us. The provided range does not include cost associated with installation.

¹⁰ You will need to obtain permits, licenses, registrations, certificates, and authorizations required by Ameriprise Financial, FINRA, other governmental and regulatory agencies, and federal and state securities laws. You will also need to obtain appropriate insurance licenses before you sell insurance. In exchange for your Association Fee, Ameriprise Financial will provide you with assistance in obtaining and maintaining the required licenses.

¹¹ At your option, you may incur travel and entertainment expenses associated with visiting and entertaining existing and potential clients. You may also have to pay for transportation, lodging, and food to attend certain Independent Advisor events and training.

¹² At your option, you may hire support staff to assist you with the Independent Financial Advisor Business. We estimate that the amount given will cover one full-time assistant, but you may hire more or fewer support staff, depending on the needs of the Independent Financial Advisor Business.

¹³ Security deposits generally are required by utility providers, the landlord, and any equipment lessors. Landlords usually require a security deposit of one to three months' rent.

¹⁴ We deduct the Errors and Omissions Fee from the Compensation each Accounting Period before you receive your share of the Compensation. The cost of the Errors and Omissions Fee per Independent Advisor will vary depending on: (i) the amount of coverage chosen; and (ii) the number of Associate Financial Advisors employed, or contracted by, Independent Advisor. The initial premium for Errors and Omissions Fee will be \$183.34 per month for \$2,000,000.00 of coverage per Independent Advisor and \$91.66 per month for \$2,000,000.00 of coverage for each Associate Financial Advisor employed, or contracted by, Independent Advisor. The deductible will be \$10,000. Additional coverage may be purchased for an additional fee.

¹⁵ You will have the option of attending continuing education programs for a fee. The fees for these programs will be paid to us or an affiliate, upon demand, and will vary by location, format (i.e., instructor vs. computer), and other factors. These fees may be refundable depending on the program. In addition, if you qualify to participate in special optional programs, you may be required to attend additional training for an additional fee. Some training programs may only be available to Independent Advisors who are enrolled in a program or meet specific program requirements.

¹⁶ You will need capital to support ongoing expenses. The listed expenses include: the Association Fee, Errors and Omissions Fee, Compliance Supervision, payroll, rent, utilities, and other fees for the 2nd and 3rd months of operation, to the extent that these costs are not covered by revenues. The need for additional funds will vary widely among Independent Financial Advisor Businesses; new businesses usually generate a negative cash flow. We estimate that the amount given will be sufficient to cover ongoing expenses for the start-up phase of the Independent Financial Advisor Business, which we calculate to be three (3) months. This is only an estimate, however, and there is no assurance that additional funds will not be necessary during or after the start-up phase of the Independent Financial Advisor Business. The estimates are based on our experience and the experiences of Independent Advisors with whom we previously contracted. If you are an Employee advisor who becomes an Independent Advisor, we estimate that because you are already engaged in the financial advisor business, the additional funds you will need for three (3) months of operation will be considerably less than the additional funds listed. We estimate the additional funds you will need may range from \$0 to \$6,700. This is only an estimate, however, and we cannot guarantee that you will not incur additional expenses.

¹⁷ If you choose to purchase your computer hardware independently, you must purchase a "software install" service to assist you in the installation of our base proprietary software. Our technology support team will perform this service and the specific fee charged will be based on the level of installation support you choose to purchase.

The fees disclosed in Item 7 are non-refundable. However, computer and communication hardware and software, security deposits, and certain lease costs may be refundable, depending on the terms of the lease or purchase agreement(s) you sign with third parties.

Products & Services

ITEM 8

RESTRICTIONS ON SOURCES OF PRODUCTS & SERVICES

Products & Services

You do not purchase Products & Services. As further described in Item 16, all of the Products & Services sold or offered for sale at the Independent Financial Advisor Business must be pre-approved by us, meet our then-current standards, and be procured through us or our affiliates, as ~~provided~~set forth in the Manuals.

We and our affiliates are currently approved suppliers of the Products & Services. All of the Products & Services are currently also supplied by approved non-affiliated suppliers.

You must not offer for sale~~,~~ or sell~~,~~ any products or services until you receive our written approval of such product, service~~,~~ or supplier. We may, from time-to-time, revoke our approval of certain Products & Services or suppliers if we determine, in our sole discretion, that the Products & Services or suppliers no longer meet our standards. Upon receipt of such revocation, you must cease to offer and sell any disapproved Products & Services and/or cease to purchase from any disapproved ~~suppliers~~suppliers, although you may continue to service such Products & Services, unless otherwise notified.

We and our affiliates will derive revenue from selling Products & Services to clients of Independent Financial ~~Advisors~~Advisor Businesses operating under the System. In order for you to sell some of the Products & Services offered by some of our affiliates, you may be required to execute agreements with such affiliates.

Our Parent company and sole stockholder is Ameriprise Financial, Inc., a public company whose stock is listed on the New York Stock Exchange ~~(("NYSE:AMP").)~~. Although none of our directors or principal officers hold a controlling interest in Ameriprise Financial, Inc., each may hold an equity interest in Ameriprise Financial, Inc. in the form of shares of common stock, restricted stock, non-qualified employee stock options, phantom stock units~~,~~ or units in the Ameriprise Financial 401(k) Plan's Ameriprise Financial Stock Fund.

Office Lease

As described in Item 6, Item 7, and Item 11, you may lease office space from a third party. Offices leased or owned by you must meet signage and ~~premise~~location standards, as set forth in the Manuals. You may also choose to own your location(s).

Other Purchases

As described in the Manuals, you must maintain~~,~~ at your expense~~,~~ a FINRA and state (if applicable) compliant registered office with the fixtures, furnishings, and equipment necessary to maintain professional standards for ~~the operation of~~operating the Independent Financial Advisor Business. You must purchase and install signs as ~~provided~~set forth in the Manuals and as specified by FINRA ~~rules~~policies, regulations, and ~~policies~~rules.

Advertising and Promotion

All advertising and promotion by you must be in such media, of such type, and format as we may approve. You must conduct such activities in a dignified manner, which conforms to the requirements and standards as we may establish to conform with regulatory requirements and to protect the value of the Proprietary Marks. You must not use any advertising, promotional plans~~,~~ or materials unless~~,~~ and until~~,~~ you have received our written approval. Please refer to Item 11 under the subheading "Advertising" for further details about advertising. Further details on advertising, marketing, promotion, and seminar marketing are contained in the Manuals. We and our affiliates may derive revenue from providing marketing programs to you.

Computer System and Software

We will provide computer hardware specifications. Your computer hardware must be capable of operating the software we specify and connecting to our computer network. You must agree to the Software License User's Agreement attached as Exhibit I, obtain a license to use the Software from us, and gain access to our computer network. Please refer to Item 11 under the subheading "Computer Systems" for detailed information and restrictions, regarding the computer hardware and software. We and our affiliates may derive revenue from leasing the computer hardware~~,~~ and licensing the Software~~,~~ to you.

Insurance

You will be responsible for any and all liability resulting from ~~the~~ operations at the Independent Financial Advisor Business. You must also agree to indemnify us as specified in the Franchise Agreement. ~~We recommend that you procure,~~ Prior to the commencement of any operations under the Franchise Agreement, we

recommend that you, at your expense, procure and maintain in full force and effect at all times during the term of the Franchise Agreement, ~~at your expense,~~ an insurance policy or policies protecting you against any demand or claim with respect to personal injury, death, or property damage, or any loss, liability, or expense whatsoever arising from, occurring upon, or in connection with the Independent Financial Advisor Business, including comprehensive general liability insurance. We recommend that any insurance policy or policies you procure with respect to the Independent Financial Advisor Business, also protect us, our affiliates, and their respective officers, directors, employees, partners, and agents,~~and employees.~~

As ~~described~~set forth in the Manuals, and in Sections 3 and 13 of the Franchise Agreement, you are required to participate in our Errors and Omissions Program. The policy is written by American International Specialty Lines Ins. Co. and insured by Ameriprise Captive Insurance Company. In addition, you may have the opportunity to purchase from us, additional coverage such as Employment Practice Liability, Team Practices Liability, Franchise Consultant Liability, or Privacy Breach coverage as a Rider to the Errors and Omissions Program, as further described in the Manuals.

Our total revenues, including revenues from non-franchise businesses in 2021~~2020~~, were \$5,793,9747,049,856,000. (See Ameriprise Financial Services, LLC (f/k/a Ameriprise Financial Services, Inc.) Audited Financial Statement ~~At and~~ For the Year Ended December 31, 2021.) \$310,734,505.61~~2020.~~ \$309,204,847.35 or 5.34.4% of these total revenues were as a result of franchisees' purchases of products and services.

We estimate that your purchases or leases from approved suppliers (including us and our affiliates), or in accordance with our specifications, will represent approximately 25% - 50% of your total purchases and leases in establishing the Independent Financial Advisor Business and approximately 25% - 50% in the continued operation of the Independent Financial Advisor Business. As discussed above, you are, however, required to offer for sale at the Independent Financial Advisor Business, only Products & Services that we approve. Our standards for purchases, leases, and suppliers are either: (1) contained in the Manuals; or (2) will be provided to you upon request. When approving suppliers, we consider whether they demonstrate the ability to meet our policies regarding privacy and confidentiality, our company standards and specifications, and whether they possess adequate quality controls and capacity to supply your needs promptly and reliably. With respect to suppliers of Products & Services, we also consider how the suppliers are structured and managed, the stability of the suppliers, internal and external events and conditions that affect the suppliers' structure and stability, the performance of the suppliers, the risk level involved in using the suppliers, and the way the suppliers operate their businesses. If you propose an alternative supplier, we will approve or disapprove the alternative supplier within a reasonable time after we receive all requested information, regarding the supplier. We currently do not charge a fee for the review of an alternative supplier. We may revoke our approval of an alternative supplier upon written notice. In some cases, suppliers of Products & Services may pay us or our affiliates a periodic fee or a fee based on sales to clients made by Independent Financial Advisor Businesses operating under the System. Such fees generally range from .10% - .20%, or more, of the sales to clients obtained by franchisees.

~~.20%, or more, of the sales to clients obtained by franchisees.~~

We do not have any purchasing or distribution cooperatives. We do not grant material or special or ~~material~~-benefits based on use of ~~a-an approved or~~ designated ~~or-approved~~ supplier.

We consider a variety of factors when determining whether to renew or grant additional franchises. Among the factors considered is compliance with the Franchise Agreement.

In order to maintain client privacy and compliance with relevant regulations, we may set additional restrictions on your use of third-party vendors, as described~~set forth~~ in the Manuals.

From time-to-time, one or more of our officers may own an interest in one or more of our suppliers.

ITEM 9 FRANCHISEE'S OBLIGATIONS

This Table lists your principal obligations under the franchise and other agreements. It will help you find more detailed information about your obligations in these agreements and in other items of this Disclosure Document.

Obligation	Section in Franchise Agreement and/or Addendum	Disclosure Document Item
a. Site selection and acquisition/lease	§ 1 of Franchise Agreement	Item 11
b. Pre-opening purchases/leases	§ 5 of Franchise Agreement	Items 7, 8, and 11
c. Site development and other pre-opening requirements	§ 5 of Franchise Agreement	Items 7, 8, and 11
d. Initial and ongoing training	~~§§§~~ 3 and 7 of Franchise Agreement	Items 1, 5, 6, 7, and 11
e. Opening	§ 6 of Franchise Agreement	Items 11 and 16
f. Fees	§§ 3, 4, 5, 7, 13, 14, and 15 of Franchise Agreement; Addenda 1, 2, 5, and 6	Items 5, 6, and 11
g. Compliance with standards and policies/ Operating Manuals	§§ 1, 3, and 9 of Franchise Agreement; Addenda 2, 4, 5, and 6	Items 8, 11, and 14
h. Trademarks and proprietary information	§§ 5, 8, 9, and 10 of Franchise Agreement; Addendum 3	Items 13 and 14
i. Restrictions on products/services offered	§§ 1 and 5 of Franchise Agreement; Addendum 2	Items 8 and 16
j. Warranty and customer service requirements	§ 5 of Franchise Agreement	Item 12
k. Territorial development and sales quotas	§§ 1 and 5 of Franchise Agreement	Items 1, 12, and 17
l. Ongoing product/service purchases	§ 5 of Franchise Agreement	Item 8
m. Maintenance, appearance, and remodeling requirements	§ 5 of Franchise Agreement	Items 8 and 11
n. Insurance	§§ 3 and 13 of Franchise Agreement	Items 7, 8, and 11
o. Advertising	§§ 8 and 12 of Franchise Agreement	Items 6, 8, and 11
p. Indemnification	§ 21 of Franchise Agreement	Item 6
q. Owner's participation/management/staffing	§ 19 of Franchise Agreement; Addenda 1 and 4	Items 11 and 15
r. Records and reports	§ 11 of Franchise Agreement	None
s. Inspection and audits	§§ 15 and 16 of Franchise Agreement	Items 6 and 11
t. Transfer	§ 14 of Franchise Agreement	Items 6 and 17
u. Renewal	§ 2 of Franchise Agreement	Items 6 and 17
v. Post-termination obligations	§ 18 of Franchise Agreement; Addendum 3	Item 17
w. Non-competition covenants	§ 19 of Franchise Agreement; Addendum 3	Item 17
x. Dispute resolution	~~§§§~~ 26 and 27 of Franchise Agreement	Item 17
y. Taxes/permits	§§ 4, 5, 6, 15, and 20 of Franchise Agreement	Item 11

ITEM 10 FINANCING

We do not offer direct or indirect financing, except as described below. We will not guarantee a note, lease, or obligation for you.

If an Independent Advisor joins Ameriprise Financial or an Independent Advisor desires to hire/contract an experienced Associate Financial Advisor, Ameriprise Financial, in its sole discretion, may offer to Independent Advisor a loan(s) pursuant to a 4 to 10-year promissory note(s), ~~in order~~ to assist Independent Advisor and/or Associate Financial Advisor in converting to the Ameriprise Financial System. The loan(s) are based on a percentage of verified trailing 12-month compensation earned at the prior firm, the assets under management at Ameriprise Financial on a particular measurement date, and/or the production generated at Ameriprise Financial by a certain measurement date. Independent ~~Advisors~~ Advisor is obligated to repay the promissory note(s), including accrued interest, in monthly installments or due immediately upon termination of ~~their~~ Independent Advisor's Franchise Agreement. Prepayments are permitted without penalty. As described in Section 14 of the Franchise Agreement, Independent ~~Advisors~~ Advisor will not be permitted to transfer ~~their~~ his/her interest in the Independent Financial Advisor Business until all accrued monetary obligations, including the promissory note(s), are fully satisfied. Independent ~~Advisors~~ Advisor also may not be permitted to become an ~~Employee~~, Associate Financial Advisor, ~~Employee~~ or ~~Corporate~~ Staff until all accrued monetary obligations, including the promissory note(s), are fully satisfied. Interest will be charged at a rate equal to one quarter point more than the semi-annual mid-term Applicable Federal Rate compounded annually, as published by the Internal Revenue Service. Independent Advisor must grant us a security interest in all of Independent Advisor's right, title, and interest in any amounts received from any future employer and/or other party making payments to Independent Advisor. In addition, Independent Advisor authorizes Ameriprise Financial to withhold all money and assets, and to deduct any missed payments or amounts owed, from the Compensation owed to Independent Advisor, or from accounts held at Ameriprise Financial or its affiliates. ~~Independent Advisor must waive demand, presentment, notice of nonpayment and protest, and agree to pay all costs of collection, including attorney's fees.~~ If Independent Advisor defaults on the promissory note(s), Ameriprise Financial may pursue legal action to collect on the remaining balance, as described in Exhibit H. Independent Advisor must waive demand, presentment, notice of nonpayment and protest, and agree to pay all costs of collection, including attorney's fees.

Ameriprise Financial, in its sole discretion, may offer Installment loan(s) to a qualified Independent ~~Advisors~~ Advisor who ~~join~~ joins Ameriprise Financial for the purpose of marketing, hiring staff, building, renovating, and/or provisioning new office location(s) that meet premise standards (see Item 11). The Installment loans are serviced, in part, by our affiliate, RiverSource Life Insurance Company, which is reimbursed at cost for the services and facilities it provides. To qualify for an Installment loan(s), an Independent Advisor may need to meet recruiting productivity thresholds, as well as, personal financial and credit worthiness parameters. ~~The~~ Independent Advisor must provide a personal guaranty to repay the loan principal and all accrued interest, grant a security interest in the Independent Financial Advisor Business, and execute a non-compete described in Exhibit M. Independent Advisor may borrow up to 100% of the demonstrated need. Repayment is in installments, which Independent Advisor can opt for over a 36- to 72-month period. Prepayments are permitted without penalty. Interest will be charged at a rate equal to the current prime rate plus 300 basis-points at the time the loan is granted and the interest rate will then be fixed for the life of the loan (prime rate as of 4/22/01/22/2022 is 3.25%. 2020 is 3.25%). ~~Independent Advisor must waive demand, presentment, notice of nonpayment, and protest, and must pay for all costs of collection, including attorney's fees.~~ If Independent Advisor defaults on the loan or if Independent Advisor's Franchise Agreement is terminated for any reason, all outstanding principal and accrued interest will be due and payable upon written notice. Independent Advisor must waive demand, presentment, notice of nonpayment and protest, and agree to pay all costs of collection, including attorney's fees.

Our Parent, Ameriprise Financial, Inc., may offer an External Practice Acquisition ("EPA") loan available to a qualified Independent ~~Advisors~~ Advisor for the purpose of purchasing a practice from a nonaffiliated third party or from other franchisees who produce a minimum of \$1,000,000. The EPA loan is serviced, in part, by our affiliate, RiverSource Life Insurance Company, which is reimbursed at cost for the services and facilities it provides. To qualify for the EPA loan, an Independent Advisor must: have a minimum of \$250,000 in 26 service period GDC; be in good standing with respect to Compliance and Franchise standards; have at least 12-months in length of service with Ameriprise Financial as a financial advisor; have a succession plan on file with the Succession Planning Department; and have obtain approval from an Regional Vice President ("RVP") of

Ameriprise Financial. Additionally, the GDC of the practice being acquired must be less than, or equal to, the applicant's 26 service period GDC. For field leaders moving to an advisor role, the \$250,000 minimum in 26 service period GDC requirement will be waived for the 2 years after step-down from field leadership. ~~The~~ Independent Advisor must grant a security interest in the Independent Financial Advisor Business and execute a non-compete as described in Exhibit M. Independent Advisor may borrow up to 50% of the total consideration of the purchased practice, however if 50% of the purchased price is financed by the seller, up to \$500,000 (minimum \$25,000). Additional financial criteria and production criteria of the acquired practice must be met. Repayment is in monthly installments, which Independent Advisor can opt for over a 36- to 72-month period. Prepayments are permitted without penalty. Interest will be charged at a rate equal to the current prime rate plus 300 basis-points at the time the loan is granted and the interest will then be fixed for the life of the loan (prime rate as of 1/22/~~2022~~~~2019~~ is 5.503.25%). Independent Advisor must waive demand, presentment, notice of nonpayment, and protest, and must pay for all costs of collection, including attorney's fees. If Independent Advisor defaults on the loan or if Independent Advisor's Franchise Agreement is terminated for any reason, all outstanding principal and accrued interest will be due and payable upon written notice. There is also a penalty of 10% of the loan amount if Independent Advisor's Franchise Agreement terminates and Independent Advisor affiliates with a competing broker-dealer within one (1) year of termination.

We do not have any intent to sell, assign, or discount to a third party all, or part of, the financing arrangements. We do not receive direct, or indirect, payments for placing financing with any person or third party. We may, however, assign to an affiliated company at a discount.

ITEM 11

FRANCHISOR'S ASSISTANCE, ADVERTISING, COMPUTER SYSTEMS, AND TRAINING

Except as listed below, we are not required to provide you with any assistance.

Pre-Opening Obligations

1. We will provide an initial orientation program to you as part of the Initial Fee. (Franchise Agreement Section 3)
2. We may provide for a fee, on-site pre-opening and opening assistance, to ensure ~~the~~ orderly opening of an office, as you request. (Franchise Agreement Section 3)
3. We will provide you with written approval to open the Independent Financial Advisor Business when you have satisfied the requirements under the Franchise Agreement. (Franchise Agreement Section 6)

Continuing Obligations

1. We will provide Products & Services distributed ~~or~~, offered by, or required to be procured through, us and/or our affiliates. We will perform such servicing, bookkeeping, processing, and related functions as we deem necessary or appropriate. (Franchise Agreement Section 3)
2. We will process all lawful applications from Clients for Products & Services. (Franchise Agreement Section 3)
3. Within thirteen (13) business days of the end of each Accounting Period, we will prepare a commission statement for you that: (i) contains a summary of your reported and processed financial activity for Products & Services during such Accounting Period; (ii) details the Compensation; and (iii) contains certain confidential client information. With each commission statement, we will remit your share of the Compensation to you. We may provide the commission statement by providing you with limited access to our computer network for the purpose of downloading the commission statement. (Franchise Agreement Section 3)
4. We will make available signage specifications to you as part of the Association Fee. (Franchise Agreement Section 3)
5. We will offer for a fee, continuing education programs, as we deem necessary. (Franchise Agreement Section 3)
6. We will provide the Firm Element (as defined by FINRA) for regulatory compliance training and corporate compliance oversight, as part of the Association Fee. (Franchise Agreement Section 3)
7. We will offer for a fee, optional services to Independent Advisor, as described in the Manuals. (Franchise Agreement Section 3)
8. We will provide you with certain pre-approved forms, brochures, prospectuses, and sales literature

- required to present ~~a sale~~ or make a sale to a Client, or that facilitate or are required to conduct business with us. We will make available for a fee, certain other pre-approved general marketing pieces, including forms, brochures, and sales literature. (Franchise Agreement Section 3)
9. We will make available for a fee, corporate office leads, if you meet our criteria, as described in the Manuals. (Franchise Agreement Section 3)
 10. We will make available, advertising and promotional materials, as we deem appropriate. (Franchise Agreement Section 3)
 11. We will provide to you, on loan, one copy of the Manuals in hard copy, electronically, or on CD-ROM. We reserve the right to select the method of providing the Manuals to you. (Franchise Agreement Section 3)
 12. We will conduct, as we deem advisable and consistent with our regulatory and supervisory ~~obligation~~ obligations, inspections of your operation of the Independent Financial Advisor Business for the purpose of establishing your compliance with the Franchise Agreement. (Franchise Agreement Section 3)
 13. We may develop promotional programs and sales campaigns for Products & Services and/or any component of such Products & Services, the nature, duration, and geographic scope of which will be determined by us, in our sole discretion. (Franchise Agreement Section 3)
 14. We may offer incentive programs, such as awards and conferences, as described in the Manuals. (Franchise Agreement Section 4)
 15. We will offer, as we deem appropriate, advanced education programs (“Advanced Programs”) for a fee that may: (i) relate to certain Products & Services; (ii) enable you to offer additional Products & Services; (iii) enable you to obtain certificates and licenses to offer additional Products & Services; (iv) satisfy regulatory requirements; and (v) cover customer service, marketing to clients, promotion, and other topics related to operation of the Independent Financial Advisor Business. (Franchise Agreement Section 7)
 16. We will ~~maintain and~~ administer and maintain the System Fund. (Franchise Agreement Section 12)
 17. We will review, and charge you a fee for the review of, your advertising, marketing materials, training materials, and promotional plans to determine if they meet the requirements, as described in the Franchise Agreement and Manuals. (Franchise Agreement Section 12)
 18. We may make available to you from time-to-time, at your expense, pre-approved advertising plans and promotional materials, including newspaper mats, merchandising materials, sales aids, point-of-purchase materials, special promotions, direct mail materials, and similar advertising and promotional materials. (Franchise Agreement Section 12)
 19. We or an affiliate will offer, or we will arrange for a third party to offer, errors and omissions coverage to Independent Advisors for a fee, as ~~described~~ set forth in the Manuals. (Franchise Agreement Sections 3 and 13)

Any pre-opening or continuing obligations set forth above may be performed by us or by someone designated by us. Advertising

Advertising

Local Advertising

You must submit all advertising, marketing materials, or promotional plans to us for our written approval of such ~~plan or~~ materials or plan prior to use, if such ~~materials or~~ plan or material has not been prepared or previously approved by us within the prior one-year period. If we believe that any advertising or promotional materials may cause a conflict with protecting the value of the Proprietary Marks, we will initiate a process to review the advertising or promotional materials and ~~hold~~ retain authority over the materials.

If you hold appropriate licenses and satisfy all regulatory requirements, you may obtain listings for the Independent Financial Advisor Business in telephone directories. The ~~content and~~ appearance and content of any telephone listing must: (i) conform to our pre-approved format; (ii) conform to regulatory requirements; and (iii) protect the value of the Proprietary Marks. (Franchise Agreement Section 12)

National Advertising

Recognizing the value of advertising and promotion, and the importance of coordinated advertising and

~~promotion~~promotional programs, ~~to their~~ furtherance of the goodwill and public image of the System, we have the right, but not the obligation, to establish the System Fund. Part of the Association Fee paid by an Independent ~~Advisors~~Advisor may be used for the System Fund. Currently, we plan to contribute approximately 1% - 3% of your Association Fee to the System Fund for national advertising, but we are not required to do so. If established, the System Fund will be ~~maintained and~~ administered and maintained by us as follows:

1. We will direct all advertising programs through the System Fund, with sole discretion over the concepts, materials, and media used in the programs, as well as their placement and allocation. We intend to maximize general public recognition, acceptance, and use of the System and Products & Services. We are not obligated to make expenditures for you that are equivalent or proportionate to your contribution, or to ensure that any particular franchisee under the System benefits directly or pro rata from expenditures. We are not obligated to spend any amount on advertising in the geographical area where you are located. We do not plan to use the System Fund to conduct advertising that is principally a solicitation for the sale of franchises. We are not obligated to make contributions to the System Fund on the same basis as Independent Advisors. (Franchise Agreement Section 12)
2. The System Fund and any of the System Fund's earnings will be used exclusively to meet the costs of preparing, directing, conducting, and administering advertising, marketing, public relations, and/or promotional materials and programs and ~~materials, and~~ any other activities ~~which~~that we believe will enhance the image of the System, including the cost of preparing and conducting media advertising campaigns, direct mail advertising, marketing surveys, employing advertising and/or public relations agencies, purchasing promotional items, conducting and administering in-office promotions, and providing promotional and other marketing materials and services to businesses operating under the System. (Franchise Agreement Section 12)

We anticipate that all advertising funds collected from Independent Advisors will be spent during the fiscal year in which they were accrued. In ~~2021~~2020, we spent \$12.5 million on national advertising. We plan to conduct a similar level of national advertising in the future. An accounting report of advertising expenditures from prior years is available in the Ameriprise Financial annual report to shareholders. For the current accounting period, we plan to make an accounting report of advertising expenditures available in our annual report to shareholders.

We do not require ~~that you~~ to participate in any advertising cooperatives.

Campaigns

We may designate any geographical area for purposes of establishing a regional or local advertising and promotional campaign ("Campaign") and to determine whether a Campaign is applicable to the Independent Financial Advisor Business. If it is established that a Campaign is applicable to the Independent Financial Advisor Business, at your option and expense, you may become a member of such Campaign. The following provisions will apply to each Campaign:

1. Each Campaign will be coordinated by us or our designees (such as our Regional Vice Presidents) and will commence operation on a date approved in advance by Ameriprise Financial in writing. (Franchise Agreement Section 12)
2. Each Campaign will be established and organized for the exclusive purpose of administering regional or local advertising programs and developing, subject to our approval, standardized advertising materials for use by the members in local advertising. (Franchise Agreement Section 12)
3. No advertising or promotional ~~or advertising plans or~~ materials or plans may be used by a Campaign or furnished to its members without our prior approval to conform to regulatory requirements and to protect the value of the Proprietary Marks. All such plans and materials must be submitted to us. (Franchise Agreement Section 12)
4. Each Independent Advisor who is a member of the Campaign must submit to the Campaign, his or her contribution together with such other statements or reports as may be required by us or by the Campaign. (Franchise Agreement Section 12)
5. Only ~~franchisees~~Independent Advisors under the System who are members of the Campaign will receive leads resulting from the Campaign. (Franchise Agreement Section 12)

Websites

Any website will be deemed "advertising" under the Franchise Agreement and will be subject to (among other

things) our approval before it is used, as ~~further described set forth~~ in the Manuals. The Advisor Locator Program automatically creates an advisor webpage on our website. On occasion, opportunities may arise to participate in other website programs, subject to the approval of Ameriprise Financial.

In connection with any website, you agree to the following:

1. Websites may only be created using the then-current template we provide.
2. In addition to any other applicable requirements, you must comply with our standards for websites as ~~prescribed set forth~~ by us in the Manuals or otherwise in writing.
3. Any revision to the website or any of the information contained in the website, must be approved by us. (Franchise Agreement Section 12)
4. Any use of Proprietary Marks on or in connection with a website must comply with the Proprietary Marks provision of the Franchise Agreement.

National Franchisee Advisory Council

We have established a National Franchisee Advisory Council that serves in an advisory capacity to us on a variety of topics, including advertising matters. All ~~franchisees~~ Independent Advisors have the opportunity to self-nominate for council membership, ~~soas~~ long as ~~they are the~~ Independent Advisor is compliant with all ongoing duties under, and not in default of, the Franchise Agreement. Members are selected by Ameriprise Financial based on information submitted as part of the self-nomination. Ameriprise Financial retains the power to form, change, or dissolve the council.

Computer Systems (Franchise Agreement Section 5)

As ~~noted described~~ in Item 6, in order to obtain some of our technology support, optional services, or technology troubleshooting and consulting services, you must obtain computer hardware to our exact specifications. The principal function of the computer system is to link the Independent Financial Advisor Business to our computer network, for the purpose of conducting financial planning, financial analysis, marketing and service functions. There are options for acquiring the computer hardware, which are available in the Manuals. The Franchise Agreement gives us the right to require you to maintain and at all times operate, at your expense, computer hardware and software (including any peripheral devices and equipment) that meet our specifications. We strongly recommend you purchase or lease computer hardware from our Ameriprise certified channels, ensuring that the equipment has been fully tested with the *AdvisorCompass* applications. Should you choose to purchase hardware independently, certain specifications must be met, as described in the Manuals.

The hardware specifications documented in the Manuals represent the recommended list of computer requirements and should be used as a guide to help ensure optimal performance. The intention of this recommendation is to offer affordable high performance technology that is widely available and supported. We require that you keep your hardware updated to ensure that the *AdvisorCompass*® applications run properly and to limit security risk.

Support may be withdrawn for systems that do not meet baseline specifications, or are end of life from the original equipment manufacturer, including withdrawing support of systems that previously met baseline specifications upon changes to the specifications.

In order to access client information and receive information electronically, you must use the Software to obtain access to our computer network. Through the Software, we will have access to the computer system at the Independent Financial Advisor Business. We will provide enhancements, modifications, and support for the Software provided you are using hardware that meets our specifications. Your maintenance and operational activities must conform to our specifications, as set forth in the Manuals or otherwise in writing.

We have the right to require you to: (i) collect and maintain information on the computer system installed at the Independent Financial Advisor Business in accordance with regulatory and processing requirements; and (ii) provide information to use, as we may request, from the data so collected and maintained. We also have the right to have you link your computer system to ours and give us access to the computer system installed at the Independent Financial Advisor Business for the purpose of obtaining information from your computer system to satisfy regulatory and business processing requirements. We also have the right to specify other non-proprietary software that you use for the computer system. At our request, you must obtain such upgrades, enhancements, additions, substitutions, or other modifications to the computer system and software to conform to our specifications. We have the right to terminate access to our computer network for violation of the Software Agreement as detailed in Exhibit I ~~ofto~~ the Franchise Agreement.

There are no: (i) cost or frequency ~~or cost~~ limitations on our right to have you upgrade or update the computer

hardware and software⁷; or (ii) contractual limitation on our right to access and retrieve information from your computer system. Currently, the cost of computer hardware and the monthly costs for any optional hardware ~~support~~services and/or ~~service~~support are captured in Items 6 and 7.

It is your responsibility to ensure you have the appropriate network equipment installed at the Independent Financial Advisor Business, which includes the use of the Managed Network hardware and service solutions made available by Ameriprise Financial that meet our security protocols. The principal function of the network equipment is to connect the Independent Financial Advisor Business Location to our computer network. There are options for acquiring network equipment⁷ based on geographic location and office size. We require you to: (i) conform to the network equipment specifications as set forth in the Manuals; and (ii) allow us to connect to and configure your network equipment. It is your responsibility to procure ~~services and equipment~~ and services, including Internet Connectivity, as specified in the Manuals.

Manuals

We will allow you to view ~~our~~the Manuals before executing the Franchise Agreement. Before doing so, however, you must sign a confidentiality agreement ~~(the “~~**Confidentiality Agreement**~~”)~~ agreeing ~~to not to~~ reveal any of the information contained in the Manuals without our permission⁷ or use any of the information contained in the Manuals if you do not execute the Franchise Agreement. The Confidentiality Agreement is attached to this Disclosure Document as Exhibit D.

Site Selection

You will specify the registered office location(s) you have chosen for the Independent Financial Advisor Business (the “**Location**”) in Schedule A of the Franchise Agreement. You may lease space from a third party or own your ~~own~~ location(s). The Independent Financial Advisor Business Location must be located in a commercial zone or mixed commercial/residential zone, as described in the Manuals, and is subject to our approval. In approving an office location, we consider: (1) requirements under the Franchise Agreement; (2) compliance with applicable federal and state laws, regulations of government or self-regulatory agencies (such as FINRA), and Ameriprise Financial policies, including privacy policies; (3) whether you will be conducting the Independent Financial Advisor Business in a professional environment; and (4) accessibility for regulatory and compliance inspections. The criteria for a professional environment generally includes accessibility and safety for clients and staff, a neat and clean appearance, furniture and equipment in good repair, and the ability to display appropriate signage. Your Location, and any location where you conduct securities business and maintain client files, must be registered with FINRA.

Your primary location will determine which Region you will be assigned (“**Region**”), which is a geographic territory that has been defined by us based on market potential, client growth potential, and similar marketing accessibility factors. We may change Region boundaries. You may not relocate the Independent Financial Advisor Business without our prior written approval.

You must have at least one approved location within sixty (60) days of your signing the Franchise Agreement. If an approved office location is not secured within sixty (60) days, the Franchise Agreement will terminate.

Opening the Independent Financial Advisor Business

You must open the Independent Financial Advisor Business within sixty (60) days after you sign the Franchise Agreement. The typical length of time between signing the Franchise Agreement and opening the Independent Financial Advisor Business ranges from 1 to 30 days. Factors which may affect this time period include: (i) the time needed to find an approved office location⁷; (ii) secure necessary office furniture and equipment⁷; (iii) make necessary leasehold improvements⁷; and (iv) obtain ~~the necessary required~~ permits, registrations, certificates, licenses, and training.

Training

Before opening the Independent Financial Advisor Business, you must complete, to our satisfaction, the initial orientation program we offer, the cost of which is included in the Initial Fee. At our discretion, we may modify the orientation program based on your experience and/or to enhance or update the program. Instructional materials will consist of course and online resources.

TRAINING PROGRAM			
Subject	Hours of Training	Hours of On-The-Job Training	Location
Introduction	Varies by experience	None	Region
Orientation	Up to 2 hours	None	~~On-line~~ <u>Online</u>

We conduct our Introduction program as we deem necessary. Our regional vice presidents “RVP” (or field vice presidents “FVP”) will provide our Introduction program. Our RVPs and FVPs generally have experience as financial advisors and have been promoted from the field with an understanding of ~~our~~the System. Individual RVP experience is further described in Item 2 of this Disclosure Document. All of the sections of the orientation program are developed by corporate office departments with responsibility specific to the subject matter. Any orientation program that involves classroom work will take place at one of our offices near your Location within the Region.

You must attend regulatory, compliance, franchise~~7~~, or brand seminars as set forth in the Manuals. For a fee, you and your employees and/or contractors may attend optional courses, seminars, and other training programs offered by us. We will offer, as we deem appropriate, Advanced Programs. You will not be required to attend such Advanced Programs, except as necessary to satisfy regulatory requirements or if you participate in special optional programs such as Platinum Financial Services and Private Wealth Advisor. Some programs~~7~~, such as these, may have limited participation. You will be required to pay a fee, if any, specified by us for all Advanced Programs. You and your employees and/or contractors will be responsible for all costs and expenses~~1~~, including the cost of transportation, lodging, meals, and wages, incurred in connection with the initial orientation program, compliance programs, and Advanced Programs.

Orientation programs, regulatory compliance programs, and Advanced Programs will be at such times and places or through other methods, which may include computer software or websites, as we may designate.

All of the programs, training~~1~~, and other services described in Item 11 that we offer for a fee, may be purchased by Employees who become Independent Advisors. Employees who become Independent Advisors will pay the Association Fee of \$290 per month and will be required to receive compliance supervision for a fee that is estimated to range from \$83 - \$1,625 per month.

ITEM 12 TERRITORY

You must operate the Independent Financial Advisor Business at the Location. You may not relocate the registered office of the Independent Financial Advisor Business or establish a secondary office ~~outside of your Region~~ without our prior written approval, as described in the Manuals. You must have the appropriate licenses and registrations to solicit clients based on your Location, the location/residence of the client, and the person(s) who perform your regulatory supervision and oversight approves and has the appropriate licenses. You will not receive an exclusive territory. You may face competition from other Independent Advisors and Employees, from outlets we own~~7~~, or from other channels of distribution or competitive brands that we control. Because your franchise is non-exclusive, you have no protected area, territory~~7~~, or clients. You have no right of first refusal, options~~7~~, or similar rights to acquire additional franchises. In addition, we and our affiliates retain the right, among others, in any manner and on any terms and conditions that we deem advisable, without compensation to you, and without granting you any rights:

1. To offer financial products and services, including the Products & Services, directly~~7~~, or indirectly~~7~~, to any client or business, or to license others to offer Products & Services under any proprietary marks (including the Proprietary Marks) at any location, through other Independent Advisors, Employees, Corporate Staff, AFIG Advisors, direct marketing, telemarketing, internet or other online service, third-party marketers, and any other distribution method;
2. To own and/or operate~~7~~, and license others to operate, businesses that offer Products & Services using the System and Proprietary Marks, at any location; and
3. To own and/or operate, and license others to operate, businesses that offer other investment opportunities, financial services and products, using proprietary marks other than the Proprietary Marks or other systems, whether such businesses are similar to or different from the Independent Financial Advisor Business, at any location.

As discussed in Item 1, we and certain of our affiliates and designees (including other franchisees operating under the System, our Employees, Corporate Staff, AFIG Advisors, third-party dealers, persons associated with such persons, and mail order services) now sell, and must continue to have the right to sell, Products & Services, to clients located in the same or close proximity to the Independent Financial Advisor Business; we and certain of our affiliates and designees will be direct competitors of yours.

Independent Advisors are not permitted to directly~~7~~, or indirectly~~7~~, sell, offer to sell~~7~~, or provide any of the

Products & Services to any Client of Ameriprise Financial, Employee, Corporate Staff, AFIG Advisor, or another Independent Advisor operating under the System, unless Independent Advisor has followed the procedures specified in the Manuals.

All ~~websites and~~ internet advertising and websites, including any revisions, must be approved in advance by ~~us~~ and must be in a format ~~designed~~designated by ~~us~~. There are restrictions on the acceptable use of electronic communications and electronic commerce, as ~~further described~~set forth in the Manuals.

If you execute ~~the~~ Registered Principal Addendum, you may provide supervisory services only to Independent Advisors in the System, as ~~further described~~set forth in the Manuals. Each Independent Advisor will have a Registered Principal assigned to provide supervisory services for such Independent Advisor.

ITEM 13 TRADEMARKS

The Franchise Agreement allows you to use the Proprietary Marks, which include the ~~three~~ trademarks, service marks, names, logos, and commercial symbols listed in the table below (“Principal Marks”), for the operation of the Independent Financial Advisor Business, in certain limited and enumerated ways. Each is registered with the United States Patent and Trademark Office on the principle register and has been assigned the registration number indicated below. The Parent has filed all required affidavits for each of the Principal Marks.

<u>Mark</u>	<u>Registration No.</u>	<u>Registration Date</u>	<u>Goods and Services</u>
Ameriprise®	3,308,498	October 9, 2007	Financial services and advice
 Ameriprise Financial®	3,326,186	October 30, 2007	Financial services and advice
Ameriprise Platinum Financial Services®	3,284,839	August 28, 2007	Financial services and advice

The Parent and some of our affiliates use the Principal Marks in connection with the operation of their businesses. As described in Item 1, some of these affiliates sell the Products & Services and/or products and services that are similar to those offered by the Independent Financial Advisor Business ~~will offer~~. There are no agreements currently in effect, ~~which that~~ limit our right to use, or license others to use, the Principal Marks.

There are no currently effective determinations of the United States Patent and Trademark Office, the Trademark Trial and Appeal Board, the Trademark administrator of this state or any court, and there is no pending infringement, opposition, cancellation proceeding, or pending material litigation involving the Principal Marks that may be relevant to their use by you. We do not know of any infringing uses that could materially affect your use of the Principal Marks, in this state or elsewhere.

You must promptly notify us of any issue relating to the Principal Marks, including: (i) suspected infringement of any Principal Marks; (ii) any challenge to the validity of the Principal Marks; or (iii) any challenge to the ownership of, right to use and to license others to use, or your right to use, the Principal Marks. We or our affiliates have the right to direct and control any administrative proceeding or litigation involving the Principal Marks, including any settlement. We or our affiliates have the sole right, but not the obligation, to take action against uses by others that may constitute infringement of the Principal Marks. We will defend you against any third-party claim, suit, or demand arising out of your authorized use of the Principal Marks, in connection with the goods and services identified in the table above. We will not defend claims arising from your use of the ~~Principle~~Principal Marks with respect to any other goods and services or with respect to the clearance, registration, or claims arising from your use of any other trademarks, service marks, or logos. You must sign all documents and do whatever the Parent believes is necessary or advisable, to protect and maintain our interests, or your license to use, the Principal Marks. Unless litigation results from your use of the Principal Marks in a manner inconsistent with the terms of the Franchise Agreement, we will reimburse you for the out-of-pocket costs you actually incur for the requested participation in such litigation.

We reserve the right to substitute different marks for the Principal Marks, for use in identifying the System and the Independent Financial Advisor Business operating under the System, if we, in our sole discretion, determine that substitution of one or more of the Principal Marks will be beneficial to the System, or if any of the Principal Marks can no longer be used. You must promptly substitute a new mark for one of the Principal Marks, and the use of the new mark, as one of the Principal Marks, will be governed by the terms of the Franchise Agreement.

You must follow our rules when you use the Principal Marks. Some of the applicable rules are as follows:

1. ~~1.)~~ You may not use the Principal Marks:
 - To sell an unauthorized product or service;
 - To register a domain name including, in whole or in part, any Principal Mark or any domain name that may be confusingly similar, in our sole ~~opinion~~discretion, to any Principal Mark; or
 - In any manner not expressly authorized by us. You may only use the Principal Marks in the ways we expressly authorize in the Franchise Agreement; ~~2~~ every other type and form of use is

prohibited.

2. ~~2.)~~ You may not authorize ~~(, by granting a sublicense or by any other means),~~ any other person or entity, to use a Principal Mark, for any purpose.
3. ~~3.)~~ You may use the Principal Marks only as adjectives followed by a noun consisting of the good or service that is branded with the Principal Mark.
4. ~~4.)~~ Never use the Principal Marks as possessives, plurals, verbs, or as part of a pun, and do not abbreviate (i.e., shorten) any Principal Mark. They must be used exactly as registered.
5. ~~5.)~~ Use the proper symbol (SM, TM or ®) shown in the preceding list.
6. ~~6.)~~ You are not permitted to use any mark owned or associated with the Parent, other than those listed above.
7. ~~7.)~~ If you ~~ever~~ have ~~a question~~ questions regarding the appropriate use of a Principal Mark or whether your use is permitted ~~at all~~, you must contact us for clarification at Intellectual Property Legal Mail.

We are authorized by Ameriprise Financial, Inc. to use the Principal Marks and to license them to you for use in the Independent Financial Advisor Business. If we are no longer authorized to use the Principal Marks, you will not be able ~~permitted~~ to use the Principal Marks either.

ITEM 14

PATENTS, COPYRIGHTS, AND PROPRIETARY INFORMATION

Our Parent, Ameriprise Financial, Inc., owns, among others, the patents, copyrights, and proprietary information described below. We are authorized by Ameriprise Financial, Inc. to use such patents, copyrights, and proprietary information, and to sublicense them to you for use in the Independent Financial Advisor Business.

Patents and Copyrights

The Parent owns the following patents, some, or all, of which may be embodied in the Software, and ~~that~~ which may be material to the Independent Financial Advisor Business:
~~material to the Independent Financial Advisor Business:~~

Title	U.S. Patent No.	Issue Date
Management of goals and recommendations	8,190,502	May 29, 2012
Stochastic modeling module for providing financial planning and advice	8,306,885	November 6, 2012
System and method for providing financial planning and advice	8,407,125	March 26, 2013
Portfolio integration module for providing financial planning and advice	8,498,913	July 30, 2013
Method and tool for portfolio monitoring, rebalancing, and reporting	8,566,184	October 22, 2013
Management of goals and recommendations	8,635,142	January 21, 2014

The patents listed above relate to the financial planning, financial analysis, and financial advice functions of the tools we may provide for use in the Independent Financial Advisor Business. To the extent any such functions are provided in the Software described in Items 8 and 11, please see Items 8 and 11 for more details ~~information~~ on the Software. As a general matter, a patent lasts for a term of 20 years from the filing date of the application that led to the issued patent. However, the 20-year term of a patent may be lengthened or shortened by the rules of the United States Patent and Trademark Office. Often ~~times~~, this lengthening or shortening is indicated on the face of the patent document alongside the “Notice” heading. The filing date of the application is also listed on the face of the patent document ~~next to~~ alongside the ~~tag~~ “Filed.” heading. We may choose, for one reason or another, to allow an issued patent we own to lapse or otherwise become abandoned. Ameriprise Financial grants to Independent Advisor a limited license to use the patents solely in connection with the operation of the Independent Financial Advisor Business, in accordance with the terms and conditions of the Franchise Agreement, and only during the term of the Franchise Agreement.

The Parent does not own any copyright registrations that it deems to be material to the Independent Financial Advisor Business, but it does own licenses to use third-party software (as further described in Items 8 and 11), which may be subject to copyright protection. The Software Agreement (discussed in Items 8 and 11), grants you a limited license to use the Software, so long as the Parent maintains such licenses, and so long as you comply with the Software Agreement. The Parent has no obligation to defend the right to use the Software or to continue to make it available for use, but it intends to take commercially reasonable steps to enable you to use the Software or replacements for the same. Except as described in the Software Agreement, ~~we and~~ the Parent and us provide no warranties or representations, regarding future use of the patents or the Software.

The Parent's and our right to use or license the Software is not materially limited by any agreement other than by the terms and conditions of use in the relevant vendor's license agreement. Your right to use the Software is limited by this Agreement and the Software Agreement.

We or the Parent own the copyright to the printed and other materials provided to you for your use, and we, or the Parent, may, or may not, seek registrations of such copyrighted materials in its, or our, discretion. However, the decision whether or not to obtain such registrations does not impact your ability to use the same in the Independent Financial Advisor Business. These materials include: the Manuals and other manuals, brochures, forms, training materials, marketing collateral, and other materials. Although we may choose not to file an application to register the copyright for such materials, our copyright in them exist nonetheless under applicable law, and you must retain and not alter, in any way, the copyright notice on any copy you receive or are authorized to make, if any.

You may use these materials only in the manner we specify and only in and while operating the Independent Financial Advisor Business under the System. You may not prepare derivative works (altered works or new works based in whole or part on the materials we provide) of these materials and you may not attempt to license, for free or for a fee, lend or sell outright any copies or derivative works to others, whether inside the System or outside of it.

You must promptly notify us of any suspected infringement or challenge to our use of the Software, the patents, or the copyrighted materials. We or our affiliates have the right to direct and control any administrative proceeding or litigation involving the Software, patents, and copyrights, including any settlement. We or our ~~affiliate~~affiliates have the sole right, but not the obligation, to take action against uses by others that may constitute infringement of the patents or copyrights. We will defend you against any third-party claim, suit, or demand arising out of your authorized use of the Software or copyrights. You must execute any and all documents and do such acts as may, in our opinion, be necessary and advisable to protect and maintain our interests in the Software, patents, and copyrights. Unless litigation results from your use of the Software or copyrights in a manner inconsistent with the terms of the Franchise Agreement, we will reimburse you for the out-of-pocket costs actually incurred by you in any such litigation.

If we decide to add, modify, or discontinue use of the Software, or an item or process covered by a patent or copyright, you must do the same, and the use of any replacement Software item or process will be governed by the terms of the Franchise Agreement.

Manuals

You must operate the Independent Financial Advisor Business in accordance with the professional standards specified in the Manuals. The Manuals consist of optional services, business processing procedures, compliance policies and procedures, compensation schedules, and other information necessary to operate the Independent Financial Advisor Business. To comply with regulatory requirements, we may make reasonable interpretations and revise the contents of the Manuals, from time-to-time. For business changes to the Manuals, we will provide you with reasonable notice. Such revisions may include but are not limited to: the introduction of new fees and revisions to any of the fees set forth in the Manuals, the Franchise Agreement, or the Franchise Disclosure Document (including the Association Fee). We agree to provide you with sixty (60) days' written notice of any non-regulatory changes to the Manual resulting in a reduction in the GDC ("Gross Dealer Concession") Payout Rate, as defined in the Manuals. You must agree to comply with the revised Manuals.

We will provide you with electronic access to the Manuals during the term of the Franchise Agreement. You will receive the Manuals upon completion to our satisfaction of the initial orientation program. In lieu of providing you with electronic access to the Manuals, we may provide you with an alternative method to access the Manuals such as by providing you with a paper copy. Any notice of revision to the Manuals may be given by us by revising the Manuals and notifying Independent Advisors of such revisions by any reasonable means, including without limitation via electronic access. You must treat the Manuals and the information contained in them as confidential. You may not copy, duplicate, record, or otherwise reproduce the Manuals, in whole or in part, or show them to any unauthorized person. The Manuals will remain our sole and exclusive property. In the event of a dispute as to their contents, the contents of the most recently communicated Manuals supersede all previous Manuals.

Confidential Information

You must not, during or after the term of the Franchise Agreement, except as otherwise permitted in the Franchise Agreement, communicate, divulge, or use for yourself, except under the System, or for the benefit of anyone else, any confidential information or trade secrets, including employee, advisor, or client names,

addresses, data, or know-how concerning the methods of operation of the System and the Independent Financial Advisor Business that may be, or have been, communicated to you, or about which you may become aware, in connection with your operation of the Independent Financial Advisor Business. You also must not reveal any information about potential clients to whom a presentation has been made by an Independent Advisor that might reasonably be expected to do business with us. Confidential information includes, among other things, the Manuals, current and prospective client and other advisor names, addresses, data, and other personal and financial information recorded in company or company client records, compilations and lists of client information, technical information, computer hardware design, computer software, Products & Services information, System information, business information, including costs, revenues, prices (including discounts), programs, training, clients, business plans, financial reports and strategies, and sales and marketing information, used by us to compete against other providers of products and services that are similar to those offered through the System. In addition, other materials and information, including organizational structure, marketing philosophy and objectives, financial results, processes, rates, agreements, programs, methods of doing business, techniques, systems, formulas, patterns, models, devices, compilations, lists of and information concerning clients and customers, and trade secrets are proprietary and confidential. You may divulge confidential information only to those employees or contracted staff who must have access to it, in order to perform their employment or staff responsibilities and who have an obligation to keep such information confidential and use it only in furtherance of the Independent Financial Advisor Business.

Contracted Staff that may have access to personally identifiable client or potential client information may only be retained by you pursuant to a written contract that contains obligations regarding the secure handling of clients' and potential clients' personally identifiable information that are no less restrictive than those to which you are subject. Similarly, at our request, you must require your ~~personnel and contractor~~ employees having access to any confidential information of ours, or personally identifiable information about clients or potential clients or other advisors, to sign covenants and/or non-disclosure agreements, on forms satisfactory to us, requiring that they securely handle and maintain the confidentiality of all such information they receive during their association with the Independent Financial Advisor Business. We will be a third-party beneficiary of these agreements and covenants and ~~under such/or non-disclosure~~ agreements with the independent right to enforce them. In addition, all service providers that you independently retain to ~~help~~ assist you ~~operate in~~ operating the Independent Franchise Advisor Business must be contractually required by you to take measures reasonable under the circumstances to protect our confidential information and to securely handle the personally identifiable information of clients ~~and~~, prospective clients, and other advisors, that they handle on your behalf, or to which they may be exposed, in the provision of services to you. To the extent ~~that~~ you use technological solutions for the processing or storage of such confidential or personally identifiable information that are neither provided, ~~nor or~~ managed by, our Parent, you are responsible for ensuring ~~that~~ such solutions and service providers meet all of the legal and regulatory obligations to which you are subject, to the same extent as if you performed the services yourself (i.e., you cannot outsource these responsibilities). You may be required to ~~attest~~ annually attest to the fact that you have appropriate contractual obligations in place for the protection of such information and technical solutions.

ITEM 15

OBLIGATION TO PARTICIPATE IN THE ACTUAL OPERATION OF THE FRANCHISE BUSINESS

You must, personally: (i) devote best efforts to the management and operation of the Independent Financial Advisor Business; and (ii) not be employed or engage in other competitive or other business activities outside the Independent Financial Advisor Business. You may obtain an exception by receiving our written approval to engage in a competitive business, or by requesting approval from us in writing, of other businesses, as specified in the Manuals. Many of our Independent Advisors share office space and staff with other Independent Advisors, or otherwise operate as a team. You, personally, are responsible for the direct, on-premises supervision and operation of the Independent Financial Advisor Business. Any employee or contractor of yours must be competent, conscientious, and properly trained to perform the duties required of his or her employment. Any employee or contractor of yours must be approved, and, if required, licensed and appointed by, with, or through, us. Any and all employee(s) and/or contractor(s) must also execute, no later than commencement of employment or contract, the then-current ~~form of any~~ confidentiality agreement with Ameriprise Financial, as well as any other required agreements. Any and all employee(s) and/or contractor(s) must also be fingerprinted.

ITEM 16
RESTRICTIONS ON WHAT THE FRANCHISEE MAY SELL

You must use the Location solely for ~~the~~ operation of the Independent Financial Advisor Business and any other authorized activities. You must not use the Location for any unauthorized activities without first obtaining our written consent and providing notice to us, ~~as specified in the Manuals,~~ or for such other uses which do not require consent or notice, as ~~explained~~specified in the Manuals. You must refrain from using, or permitting ~~the~~ use of, the Location for any other purpose or activity, at any time, without first obtaining our written consent or have provided notice of such use, as ~~specified~~set forth in the Manuals, unless ~~the~~such use is permitted without obtaining our written consent or providing notice as ~~specified~~set forth in the Manuals. You must operate the Independent Financial Advisor Business in strict conformity with the standards we ~~prescribes~~set forth in the Manuals or otherwise provide in writing. If you execute ~~a~~the Registered Principal Addendum, you may only provide supervisory services to Independent Advisors as provided in the Registered Principal Addendum and Manuals.

You must offer and sell only Products & Services that have been expressly approved by us and meet our then-current standards, as ~~established~~specified in the Manuals or otherwise in writing. You must obtain all Products & Services solely from us or approved suppliers. You will solicit clients for Products & Services in accordance with the Manuals. You must not solicit clients to purchase Products & Services without the appropriate licenses and registrations. We have an unlimited right to change the Products & Services that you may offer and sell.

The System may be supplemented, improved, and otherwise modified from time-to-time by us. You must comply with all of our reasonable requirements in that regard, including offering and selling new or different products or services as specified by us.

As described in Item 8, the Manuals impose restrictions on the products or services which you may offer or sell, or with respect to the clients to whom you may sell and service.

ITEM 17

RENEWAL, TERMINATION, TRANSFER, AND DISPUTE RESOLUTION

This Table lists certain important provisions of the ~~license~~franchise and ~~related~~other agreements. You should read these provisions in the agreements attached to this Disclosure Document.

THE FRANCHISE RELATIONSHIP

Provision	Section in Agreement	Summary
a. Length of the franchise term	§ 2 of Franchise Agreement	3 years
b. Renewal or extension of the term	§ 2 of Franchise Agreement	Additional term of 3-years subject to your satisfaction of certain prerequisites.
c. Requirements for you to renew or extend	§ 2 of Franchise Agreement	Requirements for renewal, include: premises must meet reasonable professional standards and the requirements in the Manuals; compliance with Franchise Agreement; sign the then-current Franchise Agreement; and satisfy all monetary obligations owed by you to us and our affiliates. You may be asked to sign a contract with materially different terms and conditions than your original contract.
d. Termination by you	§ 17 of Franchise Agreement	You may terminate the Franchise Agreement upon fourteen (14) days' written notice to us (subject to state law).
e. Termination by us without cause	§ 2 of Franchise Agreement	We may terminate or dissolve the System upon ninety (90) days' written notice in the event of a change in regulatory, market, or industry conditions.
f. Termination by us with cause	§ 17 of Franchise Agreement	Grounds for termination with cause, include: default under the Franchise Agreement and other grounds; and through the suspension process.
g. "Cause" defined - defaults which can be cured	§ 17 of Franchise Agreement	All defaults not specified in the the "Immediate Termination" section of § 17.
h. "Cause" defined - defaults which cannot be cured	§ 17 of Franchise Agreement	Failure to locate an approved site, open the Independent Financial Advisor Business or complete training; abandonment; conviction of crimes; failure to obtain or loss of any appropriate permits, registrations, certificates, authorizations, licenses, or training; transfer without approval; failure to transfer in required period following death, or mental or physical incapacitation; misappropriation of monies or unauthorized activities; failure to comply with covenants; disclosure of confidential information; knowingly maintains or submits false books and records; unauthorized use of the Proprietary Marks; impairs goodwill; failure to permit inspectors; repeat defaults; alleged criminal activity; or failure to comply with regulatory supervisor.
i. Your obligations on termination/nonrenewal	§§ 18 and 19 of Franchise Agreement	Cease operating the Independent Financial Advisor Business and using all elements of the System; discontinue use of Proprietary Marks or represent present or former association with the System; payment of debts to us and our affiliates; return Manuals, records, and client files; return or erase software; make necessary alterations to the Premises; and comply with the non-solicitation covenants.
j. Assignment of contract by us	§ 14 of Franchise Agreement	There are no limits on our right to transfer or assign.

k. ~~“Transfer” by you – definition~~	~~§ 14 of Franchise Agreement~~	~~Includes transfer of any direct or indirect interest in Franchise Agreement, any client accounts, or the Independent Financial Advisor Business.~~

Provision	Section in Agreement	Summary
<u>k. "Transfer" defined - by you</u>	<u>§ 14 of Franchise Agreement</u>	<u>Includes transfer of any direct or indirect interest in Franchise Agreement, any client accounts, or the Independent Financial Advisor Business.</u>
l. Our approval of transfer by you	§ 14 of Franchise Agreement	We have the right to approve all transfers.
m. Conditions for our approval of transfer	§ 14 of Franchise Agreement	Requirements for approval of a transfer, include: payment of money owed; non-default; compliance with minimum requirements; execution of the then-current Franchise Agreement (or written assignment if transferee is an existing Independent Advisor); general release of claims (see <u>Exhibit Q</u>); payment of transfer fee; transferee meets our conditions; transferee holds all licenses, permits and other requirements; Independent Advisor remains liable for the Independent Financial Advisor Business before transfer date; payment of Initial Fee (if applicable); and transfer is in good faith.
n. Our right of first refusal to acquire your business	§ 14 of Franchise Agreement	If you have entered into a succession planning agreement less than ninety (90) days prior to a proposed transfer, we have the right to purchase the Independent Financial Advisor Business at any time. If you have entered into a succession planning agreement ninety (90) days or more prior to the transfer, we have the right to purchase the Independent Financial Advisor Business within thirty (30) days of your RVP receiving a signed succession planning agreement.
o. Our right to purchase your business	§ 14 of Franchise Agreement	See n. above
~~p. Your death or disability~~	~~§ 14 of Franchise Agreement~~	~~Ameriprise Financial encourages you to execute an agreement with another Independent Advisor to transfer the Independent Financial Advisor Business immediately upon death, or mental or physical incapacity; absent an agreement, for a management fee, we will manage the Independent Financial Advisor Business for up to ninety (90) days while your executor finds a buyer for us to approve.~~
~~q. Non-competition covenants during the term of the franchisep. Your death or disability~~	~~§ 14 of Franchise Agreement~~	~~Prohibition during the term of the Agreement on: (1) encouraging, assisting, participating, inducing, or attempting Ameriprise Financial encourages you to encourage, assist, participate, or induce any Client, prospective business, or customer to (a) terminate any execute an agreement with us, an affiliate of ours, Issuers, or anyanother Independent Advisor to transfer the Independent Financial Advisor Business under the System; immediately upon death, or (b) terminate, surrender, redeem, mental or cancel any action related to Products & Services acquired or ordered from, or through us, physical incapacity; absent an affiliate of ours, Issuers, or anyagreement, for a management fee, we will manage the Independent Financial Advisor Business under the System; (2) soliciting any client that Independent Advisor contacted, serviced, or learned of during the term of the Agreement, to open an account, other than with us, or to sell any investment, financial, or insurance products or services other than through us, without our written consent; (3) opening an account, providing, or offering to provide investment, financial, or insurance products or services, other than with us, to any client~~
	Addendum 3	

~~that you contacted, serviced, or learned about for up to ninety (90) days while operating under the Agreement; and/or (4) disparaging Ameriprise Financial, its affiliates, employees, advisors, and Products & Services (subject to state law).~~
~~Limits the enforcement of § 19B (1) and (2) if you timely comply with conditions, including years of service as an Ameriprise Financial advisor, and others (subject to state law).~~your executor finds a buyer for us to approve.

s. Modification of the agreement	§ 24 of Franchise Agreement	Must be in writing executed by both parties, except for modifications to Manuals and System, which we can make unilaterally.
<u>Provision</u>	<u>Section in Agreement</u>	<u>Summary</u>
t. Integration/merger clause	§ 24 of Franchise Agreement	Only the terms of the Franchise Agreement are binding (subject to state law). Any representations or promises outside of this Franchise Disclosure Document and Franchise Agreement may not be enforceable
u. Dispute resolution by arbitration or mediation	§ 27 of Franchise Agreement	You and we must arbitrate most types of disputes before FINRA, unless otherwise agreed by you and us (subject to state law).
v. Choice of forum	~~None~~ § 27 of Franchise Agreement	<u>Minnesota, except as otherwise required by state law.</u>
w. Choice of law	§ 26 of Franchise Agreement	Minnesota, except as otherwise required by state law.

ITEM 18 PUBLIC FIGURES

We do not use any public figures to promote our franchise.

ITEM 19 FINANCIAL PERFORMANCE REPRESENTATIONS

The FTC's Franchise Rule permits a franchisor to provide information about the actual or potential financial performance of its franchised and/or franchisor-owned outlets, if there is a reasonable basis for the information, and if the information is included in the Disclosure Document. Financial performance information that differs from that included in this Item 19 may be given only if: (1) a franchisor provides the actual records of an existing outlet you are considering buying; or (2) a franchisor supplements the information provided in this Item 19, for example, by providing information about possible performance at a particular location or under particular circumstances.

Some Independent Advisors have earned these amounts. Your individual results may differ. There is no assurance that you will earn as much.

Written substantiation for this financial performance representation is available to you upon request.

Table 1 (below) presents information about Independent Advisor earnings based on the actual Gross Dealer Concession ("GDC") levels and GDC Payout Rates for Ameriprise Financial Independent Advisors in the 6 Region sites* in 2021~~2020~~. For a description of the columns, refer to ~~#4 of~~ the Notes to Table 1 section.

Table 1: Amount and Distribution of GDC for Independent Advisors in All 6 Region Sites Based on Annual GDC

A	B	C	D	E	F	G	H	I
Annual GDC (in 000s)**	Number of Independent Advisors	Percent of Independent Advisors	Annual Average Total GDC	Annual Median Total GDC	Average Gross Income (72.97%- ~~86,285.3%~~ GDC Payout Rate)	Number/Percent Met or Exceeded Average Gross Income	Median of Gross Income	Range of Gross Income
450+	2, ~~402~~ <u>639</u>	~~56~~ <u>63</u> %	1, ~~338,020~~ <u>567,833</u>	~~971,336~~ <u>1,103,237</u>	1, ~~177,856~~ <u>376,757</u>	~~757/3282~~ <u>1/31</u> %	~~834,919~~ <u>946,607</u>	~~326,188 - 16,731,048~~ <u>324,852 - 28,640,935</u>
400-449	~~242~~ <u>138</u>	~~53~~ <u>3</u> %	~~423,255~~ <u>425,718</u>	~~423,485~~ <u>425,904</u>	~~333,791~~ <u>320,066</u>	~~409/5155~~ <u>/40</u> %	~~335,283~~ <u>313,926</u>	~~288,187~~ <u>25339</u> <u>6,688</u>
350-399	~~456~~ <u>122</u>	~~43~~ <u>3</u> %	~~377,396~~ <u>372,119</u>	~~375,582~~ <u>370,817</u>	~~287,281~~ <u>274,297</u>	~~69/4452~~ <u>43</u> %	~~286,027~~ <u>268,602</u>	~~229,066 - 345,760~~ <u>2,185 - 359,494</u>
300-349	~~469~~ <u>160</u>	4%	~~324,796~~ <u>321</u>	~~323,920~~ <u>322,033</u>	~~243,622~~ <u>238,950</u>	~~75/4473~~ <u>46</u> %	~~240,632~~ <u>235,050</u>	~~216,077~~ <u>298</u> <u>0,966</u>
250-299	~~204~~ <u>162</u>	~~54~~ <u>4</u> %	~~272,764~~ <u>274,519</u>	~~270,942~~ <u>275,723</u>	~~199,747~~ <u>201,812</u>	~~91/4576~~ <u>47</u> %	~~197,224~~ <u>199,731</u>	~~158,014 - 269,058~~ <u>0,198 - 256,954</u>
200-249	~~204~~ <u>174</u>	~~54~~ <u>4</u> %	~~222,519~~ <u>224,460</u>	~~221,337~~ <u>223,110</u>	~~163,071~~ <u>164,960</u>	~~93/4683~~ <u>48</u> %	~~161,174~~ <u>163,205</u>	~~144,069~~ <u>162</u> <u>223,511</u> <u>9,039</u>
150-199	~~496~~ <u>181</u>	~~54~~ <u>4</u> %	~~474,536~~ <u>475,736</u>	~~473,175~~ <u>473,830</u>	~~427,275~~ <u>428,844</u>	~~9788/49~~ <u>9788/49</u> %	~~426,467~~ <u>428,462</u>	~~87,377 - 480,227~~ <u>8,140 - 172,019</u>
100-149	~~229~~ <u>191</u>	5%	~~426,554~~ <u>424,404</u>	~~427,286~~ <u>423,808</u>	~~93,060~~ <u>91,562</u>	~~415/5093~~ <u>/49</u> %	~~93,148~~ <u>91,184</u>	~~63,381 - 430,205~~ <u>235 - 131,165</u>
50-99	~~248~~ <u>221</u>	~~65~~ <u>5</u> %	~~74,702~~ <u>72,230</u>	~~74,433~~ <u>71,875</u>	~~55,179~~ <u>53,960</u>	~~124/5010~~ <u>1/46</u> %	~~55,181~~ <u>52,209</u>	~~36,400~~ <u>30</u> <u>89,992</u> <u>79,432</u>
0-49	~~260~~ <u>217</u>	~~65~~ <u>5</u> %	~~25,312~~ <u>27,84</u>	~~27,948~~ <u>30,001</u>	~~18,599~~ <u>17,86</u>	~~144/5512~~ <u>2/56</u> %	~~20,839~~ <u>20,160</u>	~~0 - 37,963~~ <u>41,444</u>
Totals	~~4,277~~ <u>205</u>	100%						

* Table 1 data covers all Independent Advisors in the U.S. "Region" is a term used to describe a geographic region.

** Consists of Time-of-Sale and Trail GDC.

*** Expenses are not included in this figure, but are necessary to run a business; these types of costs can vary significantly from individual to individual. The Independent Advisor is responsible for determining the cost he or she will incur for these expenses (see Items 5, 6, and 7 for more information).

NOTES TO TABLE 1:

1. The average length of service of the Independent Advisors whose results are reflected in Table 1, is approximately 21 years.

2. Table 1 represents actual Independent Advisors' ~~2021~~2020 GDC data. Product mix is specific to Ameriprise Financial Services, LLC - RMD

individual Independent Advisors and may vary among Independent Advisors; the product mix of a new Independent Advisor may differ from the product mix of an experienced Independent Advisor. This difference in product mix will cause earnings to differ because different products have different GDC rates, which, in turn, affects an Independent Advisor's gross income. Ameriprise Financial's average product mix (based on national Independent Advisor ~~national~~ data) is illustrated in Table 2 below.

Table 2: ~~2021~~2020 Average Total GDC Product Mix for Independent Advisors

Product Category	% of Total GDC
Advice Services	~~8.1~~ 7.3%
Insurance (Life, Long-Term Care, Disability)	2.1%
Direct Investments	0. ~~32~~ %
Mutual Funds & Securities	4. ~~40~~ %
Managed Accounts	~~6366~~ .9%
Annuities	9. ~~63~~ %
Other	~~11.6~~ 10.2%
Total	100%

3. The following terms are provided to aid in understanding Table 1:

- GDC: Generally, the amount generated after the GDC Rate is applied to the product transaction. The GDC Rate is also known as the GDC Product Rate. These rates can be found in the Compensation Reference Guide contained in the Manuals. Certain products, such as Non-Traded Real Estate Investment Trusts (“REIT”), Non-Traded Business Development Companies (“BDC”), Unit Investment Trusts (“UIT”), Brokered Insurance, and Hedge Fund Offerings may have a lower GDC Product Rate than that of the selling commissions rate. Ameriprise Financial reserves the right to make these products available for sale or to remove them from the approved Products & Services list, hence not all the products listed may be available as an approved Product. For examples of how the GDC Product Rates are calculated, see Exhibit L.
- GDC Payout Rate: The percentage payout rate applied to the GDC. In ~~2021~~2020, the average payout percentage ranged from 72.97% to ~~86.285.3%~~ depending upon production level, as illustrated in Column F of Table 1 (actual payouts range from 72% to 91%).

4. A description of the specific revenue columns, which make up Table 1 are as follows:

Description of Table 1:

- Column A: Annual GDC (in thousands) - The gross dealer concession amount from new business, also known as Time of Sale GDC and trails.
- Column B: Number of Independent Advisors - Independent Advisors by GDC sales level. This breakout is based on results, as described above, from ~~January 1~~December 30, 2020 through December ~~29, 28, 2021~~2020. Only Independent Advisors who were active as of December ~~2021~~2020 are included.
- Column C: Percent of Independent Advisors - Percent of Independent Advisors that fall into each GDC Level.
- Column D: Annual Average Total GDC - This is the average GDC generated for those advisors within the given specified category.
- Column E: Annual Median Total GDC - This is the median GDC generated for those advisors within the given specified category.
- Column F: Average Gross Income - This is the average annual GDC multiplied by the average GDC Payout Rate for each production level. The average GDC Payout Rate varies by production level and was between 72.97% and ~~86.285.3%~~ in ~~2021~~2020 for these levels.
- Column G: Number/Percent Met or Exceeded Average Gross Income - This is the number and percent of advisors that have met or exceeded the Average Gross Income in Column F within the given specified category.
- Column H: Median of Gross Income - This is the median gross income earned by the advisors within the given specified category.
- Column I: Range of Gross Income - This is the range of gross income earned by the advisors within the specified category.

5. GDC sales volumes vary considerably due to a variety of factors, such as:

- Office and client location, including the particular Region ~~he or she~~an Independent Advisor is located ~~in~~. In ~~2021~~2020, the average GDC varied among each Region from a high of approximately ~~\$924,0301,182,729~~ to a low of approximately ~~\$760,090932,644~~.
- Individual Independent Advisors’ investment in business.
- Individual Independent Advisors’ marketing and investment advice skills.
- Tenure as an Independent Advisor (i.e., a more veteran Independent Advisor will typically have a larger book of business and more client assets invested through Ameriprise Financial, ~~and so~~ therefore, will often have higher compensation than an Independent Advisor earlier in his or her career).
- Other financial service firms in the immediate market.
- Advertising and promotional opportunities.
- Field leadership management efforts.

~~→ The amount of assets and size of client base that an Independent Advisor possesses at the time he or she~~Other financial service firms in the immediate market.

~~• Advertising and promotional opportunities.~~

~~• Field leadership management efforts.~~

- ~~• The amount of assets and size of client base that an Independent Advisor possesses at the time he or she becomes a franchisee.~~
- Economic market conditions.

6. All figures are for actual Ameriprise Financial Independent Advisors. These Independent Advisors have significant sales experience (approximate average is 21 years). It should not be assumed that these levels will be achieved by a newly franchised Independent Advisor. Actual results vary from Independent Advisor to Independent Advisor and we cannot predict the actual results of any specific Independent Advisor. A new Independent Advisor's results are likely to be lower than the results shown in these Tables. Also, an Independent Advisor earlier in his or her career will also likely have lesser results than a more tenured Independent Advisor. Ameriprise Financial recommends that you do your own independent research to determine whether or not the franchise will be profitable, and consult with an attorney before signing any franchise agreement.
7. Ameriprise Financial reserves the right to change GDC rates, GDC advisor Payout Rates, and required expenses at any time. We will provide Independent Advisor with sixty (60) days' notice of any non-regulatory change, which reduces the GDC Payout Rates. Other changes to the GDC Payout Rate will be communicated with reasonable notice to you.

PAYOUT METHOD FOR CALCULATING GDC

THE METHOD FOR CALCULATING THE GDC PAYOUT RATE IS A PAYOUT GRID. THE PAYOUT GRID MEASURES BOOK OF BUSINESS ("BOB"), TOTAL GDC, AND INCLUDES A POTENTIAL FOR A FINANCIAL PLANNING BONUS PAYOUT RATE. PAYOUT GRID RESULTS DETERMINE WHICH OF THE GDC PAYOUT RATES WILL APPLY TO THE INDEPENDENT ADVISORS' ADVISOR'S GDC.

Table 3A: Payout Grid Metrics for Independent Advisors

Book of Business Value	Measures client invested assets, with an additional value given for protection products and health insurance. Calculated by multiplying asset or product value with a factor and dividing by a million.
Total GDC	Measures GDC (combination of time-of-sale and trail GDC)

Table 3B: BOB Factor by Asset Category

Client Invested Assets/Other Products	Factor
Permanent Life Insurance	1
Annuities - Fixed	1
Annuities - Variable	1
Settlement/Immediate Annuities	1
Mutual Funds	1
SPS Mutual Funds	1
Ameriprise Premier Portfolio Services/PMG	1
Personal Trust	1
Direct Investments	1
Retail 401(k) Plan	1
Securities - Ameriprise Strategic Portfolio Services (SPS) Advantage	1
Securities - Ameriprise Financial ONE® and Basic Brokerage	1
Certificates	1
Cash Holdings	1
Other	1
Protection Products (Client Benefit, Death/Annual Benefit Amount)	0.2
Health Insurance (Annual Benefit Amount)	0.2

Table 4: 2022 Payout Grid and Corresponding Base Payout Rates Measurement
(GDC payout rate effective for the Jan. 25, 2023 through Jan. 23, 2024 Compensation Period)

Minimum Total GDC (in thousands) Between Dec. 29, 2021 and Dec. 27, 2022																
Minimum BOB (MM) (12/31/22)	< 485	485	620	725	995	1,250	1,525	1,795	2,070	2,490	2,920	3,335	3,785	4,215	4,935	5,600
<58	72.0%	75.0%	77.5%	80.0%	81.5%	83.0%	84.0%	85.0%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
58	72.0%	78.0%	80.0%	82.0%	83.0%	84.0%	84.5%	85.0%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
114	72.0%	80.0%	82.0%	84.0%	84.0%	84.5%	84.5%	85.0%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
158	73.0%	81.0%	82.5%	84.0%	84.5%	85.0%	85.0%	85.5%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
230	74.0%	82.0%	83.5%	85.0%	85.0%	85.5%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	88.5%	89.0%	90.0%	91.0%
362	75.0%	83.0%	84.0%	85.0%	85.5%	86.0%	86.0%	86.5%	86.5%	87.0%	87.5%	88.0%	88.5%	89.0%	90.0%	91.0%
484	76.0%	84.0%	85.0%	86.0%	86.0%	86.5%	86.5%	87.0%	87.5%	88.0%	88.0%	88.5%	89.0%	90.0%	90.5%	91.0%
608	76.0%	84.0%	85.5%	87.0%	87.0%	87.5%	87.5%	88.0%	88.0%	88.5%	88.5%	89.0%	90.0%	91.0%	91.0%	91.0%
730	78.0%	86.0%	87.0%	88.0%	88.0%	88.0%	88.5%	88.5%	89.0%	89.0%	89.5%	90.0%	90.5%	91.0%	91.0%	91.0%
860	80.0%	88.0%	88.5%	89.0%	89.0%	89.0%	89.0%	89.0%	90.0%	91.0%	91.0%	91.0%	91.0%	91.0%	91.0%	91.0%

Financial Planning Bonus. Independent Advisors who qualify for less than a 91% base payout rate on the payout grid have the opportunity to qualify for a bonus payout rate based on the number of financial plans sold and year-over-year growth in financial plans. The bonus payout rate will be added to the base payout rate – up to a combined maximum payout rate of 91%.

The financial planning bonus payout rate ranges from 1% to 5%. Independent Advisors may qualify for a financial planning bonus payout rate based on their year-over-year growth and plan count results during 2022, based on Table 5 for the Jan. 25, 2023 through Jan. 23, 2024 Compensation Period. Minimum 2022 Plan Count will be measured as of Dec. 29, 2021 through Dec. 27, 2022. Plan Count Growth will be calculated by subtracting 2021 plan count, measured as of Dec. 30, 2020 through Dec. 28, 2021, from 2022 plan count.

Table 5: 2022 Financial Planning Bonus Payout Grid

Minimum Plan Count	Minimum Plan Count Growth			
	0 - 19	20 - 29	30 - 39	40 and above
<90	0%	1%	2%	3%
90	0%	2%	2%	3%
125	1%	2%	3%	4%
160	3%	3%	4%	5%
200	4%	4%	5%	5%

New Independent Advisor Payouts

New Independent Advisors may not have sufficient data to determine Payout Grid Results. Therefore, a new Independent Advisor's initial Payout Rate will be determined based on his or her previous affiliation with another company in the financial services industry. A former Employee advisor will receive an initial Payout Rate based on their prior production.

The initial Payout Rate for new experienced Independent Advisors with a transferable book of business from a financial services company outside of Ameriprise Financial will be a fixed Payout Rate for a guaranteed term based on several factors, including production at the prior firm (see Table 6A). If the standard grid rate is better, as calculated at year-end grid measurement, the better-of grid rate will be provided for the following compensation year. Once the new Independent Advisor no longer qualifies for a fixed Payout Rate, the Payout Rate will change within the next two-week service period based on the payout grid then in effect and will run through the then-current annual measurement cycle, and thereafter measured every year.

Independent Advisors may be eligible for transitional compensation in the form of an initial loan ~~or loans in order(s)~~ to assist Independent Advisor in transferring to the ~~Ameriprise Financial~~ System, as further described in Exhibit H. The amount of the loan(s) may be based on the trailing 12-month production generated at ~~the~~ their prior firm, the amount of assets under management at Ameriprise Financial on a particular measurement date, and/or the production generated at Ameriprise Financial by a certain measurement date. ~~The~~ Independent Advisor may also ~~may~~ be eligible to earn bonuses to help offset loan payments by remaining an Independent Advisor through the date each loan payment is due.

payment is due.

Table 6A: New Experienced Advisor Compensation Package Considerations

T-12 Production	Initial Loan	Total Bonus Opportunities	Initial Fixed Payout Rate
\$200K - \$350K	~~35~~ 45%	~~5777~~ .5%	87%
\$350K - \$500K	~~40~~ 50%	~~6787~~ .5%	87%
\$500K - \$750K	~~45~~ 55%	~~7797~~ .5%	90%
\$750K - \$1M	~~50~~ 60%	~~90110~~ %	91%
\$1M - \$1.5M	~~55~~ 65%	~~100120~~ %	91%
\$1.5M+	~~55~~ 70%	~~110135~~ %	91%

Employee advisors transitioning to an Independent Advisor can only do so on one of two designated dates per year (see Table 6B). An Employee advisor who becomes an Independent Advisor will have his or her initial Payout Rate based on the previous year's Payout Grid. Regardless of the date of transfer during the year, the Employee advisor's 26 service period Total GDC, Book of Business ("BOB"), and 26 service period financial plan count as of December of the previous year will be applied to the previous year's grid to determine the Payout Rate. For example, Employee advisors who transfer in 2022 will have their sales metrics from December of 2021 applied to the 2021 Payout Grid (see Table 7) and Employee advisors who transfer in 2023 will have their sales metrics from December of 2022 applied to the 2022 Payout Grid (see Table 4). The initial Payout Rate will beremain in place until the start of the next compensation period following a year end measurement date when there are 26 service periods of data (including employee advisor sales results). Employee advisors with less than 10 years of service with Ameriprise Financial will have a 15 percentage point payout rate reduction from the rate they would otherwise qualify for as an Independent Advisor. This reduction will last for a minimum of 52 service periods. If after 52 service periods a minimum of 30% of an advisor's 26 service period total GDC at the time of transition has been recovered, the payout rate reduction will end; otherwise, the reduction will continue until the 30% has been met. In addition, Employee advisors or field leaders who were subject to a payout rate reduction as an Employee advisor will have that payout rate reduction applied to their payout rate as an Independent Advisor until the original term of the payout rate reduction has been met.

Table 6B: Employee Advisor Transitions

Transfer Date	Sales Metrics Used As Of	Payout Grid Applied
Mar. 9, 2022	Dec. 2021	2021
Sep. 7, 2022	Dec. 2021	2021

Table 7: 2021 Payout Grid and Corresponding Base Payout Rates Measurement
(GDC payout rate effective for the Jan. 26, 2022 through Jan. 24, 2023 Compensation Period)

Minimum Total GDC (in thousands) Between Dec. 30, 2020 and Dec. 28, 2021																
Minimum BOB (MM) (12/31/21)	< 415	415	525	610	830	1,040	1,270	1,495	1,715	2,035	2,390	2,730	3,100	3,450	4,040	4,600
<49	72.0%	75.0%	77.5%	80.0%	81.5%	83.0%	84.0%	85.0%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
49	72.0%	78.0%	80.0%	82.0%	83.0%	84.0%	84.5%	85.0%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
95	72.0%	80.0%	82.0%	84.0%	84.0%	84.5%	84.5%	85.0%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
132	73.0%	81.0%	82.5%	84.0%	84.5%	85.0%	85.0%	85.5%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	89.5%	91.0%
192	74.0%	82.0%	83.5%	85.0%	85.0%	85.5%	85.5%	86.0%	86.5%	87.0%	87.5%	88.0%	88.5%	89.0%	90.0%	91.0%
302	75.0%	83.0%	84.0%	85.0%	85.5%	86.0%	86.0%	86.5%	86.5%	87.0%	87.5%	88.0%	88.5%	89.0%	90.0%	91.0%
403	76.0%	84.0%	85.0%	86.0%	86.0%	86.5%	86.5%	87.0%	87.5%	88.0%	88.0%	88.5%	89.0%	90.0%	90.5%	91.0%
507	76.0%	84.0%	85.5%	87.0%	87.0%	87.5%	87.5%	88.0%	88.0%	88.5%	88.5%	89.0%	90.0%	91.0%	91.0%	91.0%
608	78.0%	86.0%	87.0%	88.0%	88.0%	88.0%	88.5%	88.5%	89.0%	89.0%	89.5%	90.0%	90.5%	91.0%	91.0%	91.0%
718	80.0%	88.0%	88.5%	89.0%	89.0%	89.0%	89.0%	89.0%	90.0%	91.0%	91.0%	91.0%	91.0%	91.0%	91.0%	91.0%

Table 8: 2021 Financial Planning Bonus Payout Grid

Minimum Plan Count	Minimum Plan Count Growth			
	0 - 14	15 - 24	25 - 34	35 and above
<85	0%	1%	2%	3%
85	0%	2%	2%	3%
115	1%	2%	3%	4%
145	3%	3%	4%	5%
185	4%	4%	5%	5%

THE COMPANY RESERVES THE RIGHT, IN ITS SOLE DISCRETION, TO PERIODICALLY MODIFY THE INDEPENDENT ADVISOR COMPENSATION MODEL, AS WELL AS ALL COMPONENTS OF ANY SUCH MODEL, INCLUDING, FOR EXAMPLE, THE METRIC CATEGORIES, THE PERFORMANCE STANDARDS WITHIN EACH METRIC, AND THE GDC PAYOUT AND PRODUCT RATES. WE WILL PROVIDE INDEPENDENT ADVISOR WITH SIXTY (60) DAYS NOTICE OF ANY NONREGULATORY CHANGE, ~~WHICH THAT~~ REDUCES THE GDC PAYOUT RATES. OTHER CHANGES TO THE GDC PAYOUT RATE WILL BE COMMUNICATED WITH REASONABLE NOTICE TO YOU.

New Independent Advisors will have their initial Payout Rates determined as follows:

- Field Leaders will have an initial Payout Rate of 85% as a new Independent Advisor.
- Associate Financial Advisors who have been in the role of Associate Financial Advisor for one year or less (i.e., less than 26 service periods) will have an 80% initial Payout Rate if they become Independent Advisors.
- Associate Financial Advisors who have been in the role of Associate Financial Advisor for more than one year (i.e., more than 26 service periods) will have an 85% initial Payout Rate if they become Independent Advisors.
- Associate Financial Advisors who become an Independent Advisor and are the successor to their former employing/contracting Independent Advisor's business may qualify to receive the same Payout Rate as their former employing/contracting Independent Advisor as their initial Payout Rate if: (1) the former Independent Advisor becomes the new Independent Advisor's Associate Financial Advisor in the same service period; and (2) the new Independent Advisor had been employed/contracted by the former Independent Advisor as an Associate Financial Advisor for at least 1 year.
- New Independent Advisors with no prior experience or who do not meet the required standards will have an initial Payout Rate of 85%.
- ~~New Independent Advisors will continue to receive the better of their initial Payout Rate or their rate based on their "Grid Report" until the compensation payout year in which the Independent Advisor becomes a franchisee ends or until the Independent Advisor has 26 Accounting Periods worth of data on the measurement date to determine a new Payout Rate.~~
- During the initial payout period, if at year-end measurement the standard grid rate is higher than the initial rate, the advisor will receive the higher grid rate as applicable.

Table 9: Recasting of Table 1 Using the Payout Grid

In order to provide guidance in evaluating how the Payout Grid affects average individual Independent Advisor compensation, the results in Table 1 have been recast to show the breakout by payout rate as shown in ~~the~~ Tables 9A and 9B ~~(below)~~. Table 9A illustrates the breakout based on 2020 payouts (which Independent Advisors qualified for in 2019) and Table 9B illustrates the 2021 payouts (which Independent Advisors qualified for in 2020).

Table 9A

2020-GDC Payout Rate	% of Advisors in Each Tier	2019 Average Total GDC	2019 Median Total GDC	2019 Average/Median Number of Plans	2019 Average/Median- Assets (in Millions)
72.0%	33.2%	180,770	173,775	13/5	35/34
73.0%	0.7%	204,284	229,259	41/40	67/54
74.0%	0.3%	232,963	261,548	57/57	66/54
75.0%	0.6%	339,964	392,812	40/31	30/34
76.0%	0.1%	193,618	193,618	121/121	90/90
77.0%	0.1%	362,976	362,976	73/73	105/105
77.5%	0.1%	516,007	517,597	28/33	16/8
78.0%	4.9%	425,535	421,081	29/26	63/64
79.0%	0.1%	422,801	416,434	33/36	56/55
79.5%	0.0%	—	—	—	—
80.0%	4.6%	481,204	490,367	31/26	75/78
81.0%	0.7%	468,020	457,409	56/46	104/112
81.5%	0.1%	847,440	849,211	43/41	11/8
82.0%	3.7%	564,177	555,043	34/30	86/84
82.5%	0.6%	537,839	530,554	28/16	122/123
83.0%	0.5%	648,454	589,930	76/67	71/77
83.5%	0.1%	535,506	541,782	92/100	136/120
84.0%	8.6%	686,968	663,823	42/43	106/104
84.5%	2.4%	898,081	889,138	46/50	131/132
85.0%	4.9%	783,539	804,184	52/50	125/135
85.5%	3.0%	1,121,891	1,113,881	59/62	178/182
86.0%	2.3%	1,029,430	1,026,999	79/85	148/133
86.5%	1.3%	1,232,872	1,162,920	77/87	193/185
87.0%	2.8%	700,639	695,176	74/89	108/102
87.5%	1.5%	1,163,529	1,065,133	110/116	172/158
88.0%	2.6%	1,068,500	1,033,638	111/131	149/142
88.5%	1.7%	1,335,106	1,236,762	128/135	204/186
89.0%	2.3%	1,300,930	1,352,122	109/131	174/162
89.5%	1.8%	1,508,556	1,538,773	152/146	215/208
90.0%	2.5%	1,145,879	1,168,531	91/96	175/165
90.5%	1.6%	1,697,157	1,710,612	173/173	239/241
91.0%	10.3%	2,733,620	2,398,418	178/172	373/337

Table 9B

2021 GDC Payout Rate	% of Advisors in Each Tier	2020 Average Total GDC	2020 Median Total GDC	2020 Average/Median Number of Plans	2020 Average/Median Assets (in Millions)
72.0%	34.2%	175,219	168,035	12/4	39/37
73.0%	0.6%	201,059	193,219	41/36	83/72
74.0%	0.1%	290,829	326,818	74/78	43/49
75.0%	0.4%	376,012	408,476	34/17	28/34
76.0%	0.0%	60,599	60,599	156/156	138/138
77.0%	0.0%	—	—	—	—
77.5%	0.1%	520,245	525,688	32/20	11/3
78.0%	4.7%	429,002	423,485	28/21	69/70
79.0%	0.1%	418,030	402,565	77/66	68/68
79.5%	0.0%	—	—	—	—
80.0%	4.4%	492,006	484,400	30/25	85/88
81.0%	0.9%	462,710	459,597	40/24	120/125
81.5%	0.2%	859,343	862,345	67/77	9/4
82.0%	4.1%	567,486	554,131	36/33	94/94
82.5%	1.1%	545,701	539,848	26/15	134/134
83.0%	0.5%	609,978	551,278	74/70	96/95
83.5%	0.1%	540,080	542,474	41/55	186/198
84.0%	8.0%	694,252	677,096	41/39	118/116
84.5%	2.9%	906,034	891,374	45/48	145/148
85.0%	4.6%	827,429	864,794	55/51	147/152
85.5%	3.1%	1,166,572	1,143,775	57/57	200/204
86.0%	2.4%	1,054,399	1,070,117	87/99	179/158
86.5%	1.9%	1,259,514	1,262,228	84/100	207/206
87.0%	2.3%	762,362	765,262	70/847	126/114
87.5%	1.5%	1,331,828	1,178,975	119/122	208/204
88.0%	2.1%	1,313,994	1,162,814	115/140	209/171
88.5%	1.7%	1,415,512	1,272,937	137/144	230/202
89.0%	1.7%	1,302,780	1,402,402	128/143	204/202
89.5%	2.0%	1,522,201	1,572,966	160/157	247/229
90.0%	2.4%	1,143,022	1,126,306	96/118	182/165
90.5%	1.5%	1,752,184	1,764,019	178/183	282/273
91.0%	10.1%	2,902,474	2,508,703	195/186	443/391

Table 9B

<u>2022 GDC Payout Rate</u>	<u>% of Advisors in Each Tier</u>	<u>2021 Average Total GDC</u>	<u>2021 Median Total GDC</u>	<u>2021 Average/Median Number of Plans</u>	<u>2021 Average/Median Assets (in Millions)</u>
72.0%	31.6%	184,894	177,501	12/3	39/38
73.0%	0.8%	228,916	243,647	46/37	70/63
74.0%	0.2%	153,004	90,919	68/54	56/10
75.0%	0.8%	383,574	434,638	37/28	33/24
76.0%	0.1%	123,702	82,278	101/137	233/165
77.5%	0.1%	534,404	529,369	4/0	30/44
78.0%	3.9%	463,121	460,813	24/18	72/72
79.0%	0.1%	466,148	470,741	38/32	82/87
80.0%	3.4%	521,757	528,995	22/13	83/87
81.0%	0.6%	498,470	499,404	35/26	125/144
81.5%	0.2%	930,842	925,836	46/43	11/9
82.0%	3.6%	625,854	622,752	34/30	93/91
82.5%	0.5%	603,225	568,425	24/10	134/144
83.0%	0.7%	725,893	678,219	58/58	86/86
83.5%	0.1%	619,878	579,885	39/34	142/141
84.0%	7.8%	737,477	721,268	37/32	121/119
84.5%	2.8%	979,506	954,905	42/43	147/147
85.0%	5.2%	940,722	1,005,323	47/43	160/163
85.5%	3.4%	1,262,563	1,269,762	49/45	209/209
86.0%	3.0%	1,154,838	1,147,760	82/87	177/169
86.5%	1.8%	1,431,764	1,423,105	75/80	231/230
87.0%	3.0%	1,005,111	1,045,305	72/86	151/145
87.5%	1.8%	1,406,064	1,320,168	116/119	222/213
88.0%	2.0%	1,401,701	1,310,611	125/138	202/177
88.5%	1.9%	1,538,094	1,423,594	119/130	253/228
89.0%	1.7%	1,526,656	1,518,580	133/148	232/210
89.5%	1.6%	1,626,639	1,733,933	158/154	254/247
90.0%	2.7%	1,442,603	1,564,133	108/145	222/216
90.5%	1.5%	1,808,533	1,798,344	191/191	275/268
91.0%	13.1%	3,487,360	2,925,699	209/192	504/433

Bonus and Incentive Programs

Deferred Compensation: Independent Advisors are eligible to enroll in the Ameriprise Financial Franchise Advisor Deferred Compensation Program once a year during open enrollment. New Independent Advisors may have an opportunity to become eligible to enroll in the program for the 2023 plan year.

Eligibility: With respect to a program year (2022 program year runs from Jan. 26, 2022 through Jan. 24, 2023), a minimum payout rate of 78% is required.

Annual Deferral Election: For the 2022 program year, participants may elect to defer a percentage of GDC, as shown in Table 10 (below).
shown in Table 10 below:

Table 10: Deferred Equity Options

<u>2022 GDC Payout Rate</u>	<u>2022 Deferral Rate Options</u>
72% - 77%	0%
78% - 91%	2% - 25%

Deferrals are calculated and credited, bi-weekly, to a participant's deferral account in units based on the market value of the selected investments (options include AMP shares) on the Friday following each service period. If that date falls on a non-business day, the preceding business day will be used.

Dividends: If and when dividends are paid on Ameriprise Financial common stock, the share unit account will receive additional deferred share units for the value of the cash dividends as of the dividend payment date.

Distributions: Distributions are made in a lump-sum payment or annual installments, over ~~two~~ 2 to 10 years as elected by the participant. Participants elect if they wish to receive their distribution upon termination of their Franchise Agreement or in a specified year. Note: If a participant had elected to receive their payment in a specified year and they terminate their Franchise Agreement, or separate from Ameriprise Financial for any reason other than death or disability, payments will begin in March of the year following such termination. Distribution of account balances invested in the Ameriprise Common Stock Fund will be made in shares; ~~2~~ all other balances are paid in cash.

Risk Management Tiered Compensation: Risk management tiered compensation has been established to support advisors who meet the fixed life and disability (“DI”) insurance needs of their clients. Once an advisor reaches specified time-of-sale gross dealer concession (“TOS GDC”) levels with an individual insurance carrier, the advisor begins earning additional compensation on subsequent TOS GDC for that carrier – up to 30% of TOS GDC generated on eligible fixed life and disability income insurance in ~~2022~~2020. The measurement period for the Risk Management Tiered Compensation is ~~Jan. 1, Dec. 29, 2021~~2020 through Dec. ~~29, 27, 2022~~2020. Payments occur quarterly in April, July, and October ~~2022~~2020 with the final payment in February ~~2024~~2023. The compensation amount equals the compensation percentage multiplied by the amount of eligible TOS GDC for that tier as shown in Table 11 below. Achieving a new payout tier applies the applicable percentage rate for that tier only to eligible TOS GDC within that tier (it does not go backwards to the first dollar of TOS GDC).

Table 11: ~~2022~~2020 Risk Management Tiered Compensation

Tier	~~2020~~ 2022 Fixed Life & DI Eligible TOS GDC Amount (\$)	~~2020~~ 2022 Percentage	Number of Independent Advisors Qualifying Based on ~~2021~~ 2020 Production
1	250,000 +	30%	~~68~~
2	100,000 - 249,999	25%	~~2015~~
3	75,000 - 99,999	20%	~~1410~~
4	50,000 - 74,999	15%	~~5844~~
5	25,000 - 49,999	10%	~~205105~~
6	0 - 24,999	0%	~~3,9744,012~~

For example, ~~for~~ an advisor reaching \$150,000 in eligible TOS GDC in ~~2022, would be paid~~2020, \$23,750 in tiered compensation ~~would be paid~~.

- 0% on the first \$24,999 (tier 6)
- 10% on the next \$25,000 = \$2,500 (tier 5)
- 15% on the next \$25,000 = \$3,750 (tier 4)
- 20% on the next \$25,000 = \$5,000 (tier 3)
- 25% on the next \$50,000 = \$12,500 (tier 2)

Total Risk Management Tiered Compensation paid = \$23,750

Global ~~Admin~~Administration Fee: An Administration Fee (“Admin Fee”) is a deduction from the Advisory fee portion of the Asset- based fee amount paid by a client before applying the Payout Rate outlined in Table 4. The Admin Fee is used to support management, development, and administration of the advisory service. Independent Advisors may qualify for a progressive rate reduction of this fee known as the Global Admin Fee (“GAF”) discount. Qualification is based on advisory assets under management (“AUM”) for Advisory Solution (Managed Accounts) at the end of the calendar year and is applied to all fees debited in the subsequent year. Advisory assets are billable securities for which financial advice is provided. See Table 12 for Standard and Discounted Admin Fee rate ranges.

Table 12: Standard Administration Fee with GAF Discount Ranges

Account Type	Admin Fee with GAF Discount Range
All Managed Accounts	.0025% to .26%

The annual minimum Administration Fee for all managed accounts is \$300. The minimum Administration Fee is charged on households below \$115,000, pro-rata across all accounts in the household. Households \$115,000+ will be charged the calculated Administration Fee, which may be less than \$300 annually.

For examples of GDC calculations, see Exhibit L.

Table 13: 2017 and 2018 Revenue Multiples for Sales of Independent Financial Advisor Businesses Versus Industry

Table 13 discloses average gross revenue multiples (the ratio resulting from the sale price of the business divided by gross revenue attributed to “recurring revenue”) on sales of certain Ameriprise Financial Independent Advisor Businesses occurring in 2017 and 2018, and then compares these averages to certain 2017 and 2018 sales of non-Ameriprise Financial advisor businesses. For purposes of the comparison, we included only a limited number of Ameriprise Financial Independent Advisor Business sales ~~(the “(“data set”)~~). We considered only sales of full Ameriprise Financial Independent Advisor Businesses occurring during calendar year 2017 and 2018, for which we had access to complete revenue data and sale price information. We excluded from the data set all sales for which we received incomplete data, or which involved an abnormal transaction structure. “Abnormal” transaction structure is defined in the Notes below. Finally, we excluded from the data set any partial sales of a business.

In 2017 and 2018, 181 franchisees sold the entirety of the Ameriprise Financial Independent Advisor Business to a new owner. Of the 181 sales, 87 sales were excluded because they involved an abnormal transaction structure, or we did not have access to complete revenue data and sales price information for the sale. As a result, we included 94 sales in the data out of a total of 181 Independent Financial Advisor Business sales.

The data in Table 13 regarding sales of non-Ameriprise Financial advisor businesses is taken from a study that Succession Resource Group prepared for us ~~(the “(“Study”)~~). Succession Resource Group reviewed data from all non-Ameriprise Financial advisor business sales in 2017 and 2018, but of these 65 sales, excluded 6 for which it had incomplete data, or which involved an abnormal transaction structure.

Table 13 discloses same comparison of average gross revenue multiples for sales of Ameriprise Financial Independent Advisor Businesses versus non-Ameriprise Financial advisor businesses, based on data for “recurring revenue” of the businesses involved:

	Number of Independent Financial Advisor Business Sales Considered	Average Gross Revenue Multiple (Recurring Revenue)	Median Gross Revenue Multiple (Recurring Revenue)	Number and Percent That Met or Exceeded Average (Recurring)
Sales of Ameriprise Financial Independent Advisor Businesses	94	3.10	2.93	35 (37)%
Sales of Industry Sample Group Businesses (non-Ameriprise Financial)	59	2.61	2.55	23 (39%)

NOTES TO TABLE 13:

1. “Abnormal” transaction structure means a situation in which the sale of an Ameriprise Financial Independent Advisor Business constituted part of a larger transaction (e.g., a deal involving the sale of office furniture, real estate, or assumption of a lease).
2. “Gross revenue” means the total gross revenue paid to either the Ameriprise Financial Independent Advisor Business or the non-Ameriprise Financial advisor business, net of any fees charged by a broker-dealer or custodian.
3. “Multiple of gross revenue” means the sale price of the business (either the Ameriprise Financial Independent Advisor Business or the non-Ameriprise Financial advisor business), divided by the “gross revenue” of that business.
4. “Median” means the gross revenue value for which there are an equal number of higher and lower gross revenue values in the applicable data set.
5. “Recurring revenue” means gross revenue paid to the business on an ongoing basis, typically annually (e.g., trail commissions earned on a mutual fund sale).
6. “Non-recurring revenue” means gross revenue paid to the business for a single transaction (e.g., a commission earned on an annuity sale, which that does not repeat on a periodic basis).
7. Succession Resource Group is a third party, which Ameriprise Financial engaged to conduct the Study.
8. Information stated in Table 13 for non-Ameriprise Financial advisor businesses is based on data provided

by Succession Resource Group in the Study. This information does reflect the operating history of Ameriprise Financial Independent Advisor Businesses.

9. The figures cited in Table 13 are a retrospective analysis only. We do not represent that any specific valuation method was used or relied upon in the sale of any Ameriprise Financial Independent Advisor Business or non-Ameriprise Financial advisor business sale considered in the comparison. We cannot guarantee that the sales data provided by independent businesses, which is the subject of the Study, and the results of which are reflected in the Table 13, were prepared in accordance with Generally Accepted Accounting Principles (“GAAP”).
10. The figures cited in Table 13 are not intended as a forecast of the future sale price of the Ameriprise Financial Independent Advisor Business, or a representation that you will be able to sell an Ameriprise Financial Independent Advisor Business for any particular price or revenue multiple. The figures reflected in these Tables represent a limited number of sales that occurred in 2013 only. Your ability to resell the Ameriprise Financial Independent Advisor Business and the resale price you are able to negotiate (if any) will be affected by then- current economic factors, including the performance of financial markets, the performance of Ameriprise Financial investment vehicles, and a variety of other economic factors, none of which can be predicted or guaranteed.
11. Based on the figures cited in Table 13 above, Ameriprise Financial Independent Advisor Businesses on average have a 18.8% higher multiple of recurring revenue than the sales of non-Ameriprise Financial advisor businesses.

~~Table 14A: 2012-~~

~~Table 14A: 2019 Compound Annual GDC Growth Rate for Independent Advisors~~

	~~Average GDC per Independent Advisor for Year Ending Dec. 31, 2012~~	~~Average GDC per Independent Advisor for Year Ending Dec. 31, 2019~~	~~Compound Annual Growth Rate from 2012 through 2019~~
~~Ameriprise Independent Advisors⁴~~	~~\$426,000²~~	~~\$789,000³~~	~~9%~~

~~Table 14B: 2012-2019 Average Compound Annual Revenue Growth Rate for Industry~~

	~~Average GDC per Independent Advisor for Year Ending Dec. 31, 2012~~	~~Average GDC per Independent Advisor for Year Ending Dec. 31, 2019~~	~~Compound Annual Growth Rate from 2012 through 2019~~
~~Industry Sample Group⁵~~	~~\$605,000⁶~~	~~\$791,000⁷~~	~~3.9%~~

NOTES TO TABLES 14A & B:

- ~~1) Table 14A data covers the compound annual GDC growth rate for Independent Advisors between the years 2012-2019. GDC is the gross dealer concession amount from new business, also known as Time of Sale GDC and trails.~~
- ~~2) There were 5,096 Ameriprise franchised Independent Advisors in operation for the entire calendar year ending December 31, 2012. The total GDC for all 5,096 Independent Advisors was 2,170M, and the average GDC per Independent Advisor was \$426,000.~~
- ~~3) There were 4,407 Ameriprise franchised Independent Advisors in operation for the entire calendar year ending December 31, 2019. The total GDC for all 4,407 Independent Advisors was 3,478M, and the average GDC per Independent Advisor was \$789,000.~~
- ~~4) The compound annual growth rate (“CAGR”) for Ameriprise franchised Independent Advisors was calculated with a standard CAGR formula: the average revenue per independent advisor for 2019 was divided by the average revenue per independent advisor for 2012, the result was raised to the inverse number of years between 2012-2019, before subtracting the subsequent result by one.~~
- ~~5) Table 14B data covers the average compound annual revenue growth rate for an industry sample group between the years 2012-2019. The industry sample group includes: Bank of America, LPL Financial, Morgan Stanley, and Raymond James.~~
- ~~6) The average revenue per advisor count for the industry sample group for the year ending December 31, 2012, was calculated by taking the total net revenue for financial advisors of the industry sample group and dividing it by the total number of advisors in the industry sample group, as published in each company’s Form 10-K filed with the United States Securities and Exchange Commission for the year ended December 31, 2012.~~
- ~~7) The average revenue per advisor count for the industry sample group for the year ending December 31, 2019, was calculated by taking the total net revenue for financial advisors of the industry sample group and dividing it by the total number of advisors in the industry sample group, as published in each company’s Form 10-K filed with the United States Securities and Exchange Commission for the year ended December 31, 2019.~~
- ~~8) The compound annual growth rate (“CAGR”) for the industry sample group was calculated with a standard CAGR formula: the average revenue per independent advisor for 2019 was divided by the average revenue per independent advisor for 2012, the result was raised to the inverse number of years between 2012-2019, before subtracting the subsequent result by one.~~

Table 15A: Independent Advisors with the Highest Practice Growth by Month 24 Based on GDC

A	B	C	D	E	F
Advisor	Percent of Growth by Month 24	Total GDC by Month 24**	Recruited Total GDC	Recruited AUM	Percent of Actual Ramp Up
Advisor 1	313%	1,258,556	304,677	38,133,098	413%
<u>Advisor 2</u>	<u>123%</u>	<u>1,050,608</u>	<u>471,888</u>	<u>39,733,863</u>	<u>223%</u>
<u>Advisor 3</u>	<u>92%</u>	<u>786,134</u>	<u>408,815</u>	<u>32,953,157</u>	<u>192%</u>
Advisor <u>24</u>	86%	615,390	330,895	41,908,195	186%
Advisor <u>35</u>	85%	800,324	433,464	49,500,000	185%
Advisor <u>46</u>	80%	1,990,264	1,103,668	173,322,137	180%
<u>Advisor 7</u>	<u>68%</u>	<u>429,328</u>	<u>256,000</u>	<u>25,600,000</u>	<u>168%</u>
Advisor <u>58</u>	64%	883,501	539,887	38,521,558	164%
Advisor <u>69</u>	57%	603,645	383,828	46,322,001	157%
Advisor <u>710</u>	52%	850,305	557,994	55,799,350	152%
<u>Advisor 11</u>	<u>52%</u>	<u>807,496</u>	<u>530,276</u>	<u>59,286,201</u>	<u>152%</u>
Advisor <u>812</u>	51%	767,969	510,171	48,250,000	151%
<u>Advisor 13</u>	<u>42%</u>	<u>612,287</u>	<u>431,355</u>	<u>79,000,000</u>	<u>142%</u>
Advisor <u>914</u>	41%	1,193,308	844,045	42,310,435	141%
Advisor <u>1015</u>	33%	1,625,506	1,221,508	113,000,000	133%
Advisor <u>1116</u>	32%	756,660	572,010	172,598,548	132%
<u>Advisor 17</u>	<u>31%</u>	<u>1,155,057</u>	<u>880,213</u>	<u>111,195,365</u>	<u>131%</u>
Advisor <u>1218</u>	30%	2,140,539	1,646,904	164,690,400	130%
Advisor <u>1319</u>	29%	403,230	311,961	33,460,835	129%
Advisor <u>1420</u>	26%	3,754,867	2,975,452	366,384,841	126%
<u>Advisor 15</u>	<u>24%</u>	<u>1,000,354</u>	<u>806,022</u>	<u>119,622,178</u>	<u>124%</u>
<u>Advisor 16</u>	<u>24%</u>	<u>556,319</u>	<u>448,316</u>	<u>80,221,558</u>	<u>124%</u>
<u>Advisor 17</u>	<u>22%</u>	<u>792,381</u>	<u>648,092</u>	<u>71,784,491</u>	<u>122%</u>
<u>Advisor 18</u>	<u>17%</u>	<u>4,104,958</u>	<u>3,515,406</u>	<u>443,752,700</u>	<u>117%</u>
<u>Advisor 19</u>	<u>15%</u>	<u>496,575</u>	<u>433,029</u>	<u>38,718,786</u>	<u>115%</u>

Advisor 20	13%	363,648	320,436	59,822,432	113%
Advisor 21	11%	383,527	345,191	62,109,115	111%

Table 45B14B: Independent Advisors with the Lowest Practice Growth by Month 24 Based on GDC

A	B	C	D	E	F
Advisor	Percent of Growth by Month 24	Total GDC by Month 24**	Recruited Total GDC	Recruited AUM	Percent of Actual Ramp Up
Advisor 1	-46%	320,916	598,625	82,684,000	54%
Advisor 2	-46%	379,407	708,183	8,161,832	54%
Advisor 3	-47%	242,706	456,872	45,337,803	53%
Advisor 4	-47%	425,190	803,692	79,072,041	53%
Advisor 5	- ~~50~~ 49 %	~~229,225~~ <u>25</u> ~~7,099~~	~~451,311~~ <u>54</u> ~~0,800~~	~~40,962,154~~ <u>4</u> ~~03,475,410~~	~~50~~ <u>51</u> %
Advisor 6	- ~~51~~ 50 %	~~257,099~~ <u>25</u> ~~2,540~~	~~510,800~~ <u>51</u> ~~3,611~~	~~103,475,410~~ <u>51,000,000</u>	~~49~~ <u>50</u> %
Advisor 7	- ~~52~~ 51 %	~~252,540~~ <u>31</u> ~~7,178~~	~~513,611~~ <u>65</u> ~~8,903~~	~~154~~ <u>51,000,000</u>	~~48~~ <u>49</u> %
Advisor 8	- ~~55~~ 52 %	~~317,178~~ <u>17</u> ~~0,655~~	~~658,903~~ <u>38</u> ~~1,229~~	~~131~~ <u>54,000,000</u>	~~45~~ <u>48</u> %
Advisor 9	-57%	212,838	494,557	79,863,619	43%
Advisor 10	-57%	181,363	426,200	57,627,900	43%
Advisor 11	-58%	506,174	1,215,595	121,000,000	42%
Advisor 12	-58%	163,374	392,500	39,250,000	42%
Advisor 13	- ~~60~~ 63 %	~~539,163~~ <u>15</u> ~~4,019~~	~~382,113~~ <u>1</u> ~~450,965~~	~~54,591,000~~ <u>1</u> ~~24,071,778~~	~~40~~ <u>37</u> %
Advisor 14	- ~~63~~ 64 %	~~386,800~~ <u>53</u> ~~9,163~~	~~1,450,965~~ <u>070,000</u>	~~124,071,778~~ <u>107,000,000</u>	~~37~~ <u>36</u> %
Advisor 15	-70%	148,972	502,690	50,269,000	30%
Advisor 16	- ~~79~~ 76 %	~~111,375~~ <u>98</u> ~~,263~~	~~536,960~~ <u>41</u> ~~4,104~~	~~32,812,569~~ <u>4</u> ~~5,343,000~~	~~21~~ <u>24</u> %
Advisor 17	- ~~81~~ 79 %	~~111,588~~ <u>37</u> <u>5</u>	~~602,955~~ <u>53</u> <u>6,960</u>	~~75,000,000~~ <u>3</u> <u>2,812,569</u>	~~19~~ <u>21</u> %
Advisor 18	- ~~83~~ 81 %	~~155,510~~ <u>11</u> <u>1,588</u>	~~891,705~~ <u>60</u> <u>2,955</u>	~~112,500~~ <u>75,000,000</u>	~~17~~ <u>19</u> %
Advisor 19	-84%	91,171	565,555	55,500,000	16%

Advisor ~~20~~	~~-84%~~	~~91,171~~	~~565,555~~	~~55,500,000~~	~~16%~~
Advisor <u>2420</u>	-90%	79,544	823,503	82,000,000	10%

* Tables ~~45A-8-45B14A and 14B~~ data covers Independent Advisors across the U.S. that: (1) previously worked at a different financial firm;(2) became an Independent Advisor between January 1, 2017 and ~~September 4~~December 31, 2019; (3) have been operating as an Independent Advisor for at least 24 months as of ~~September 4~~December 31, 2021; and (4) had a minimum of \$300,000 in Total GDC at their prior ~~firms~~firm from the previous 12 months. Table ~~45A14A~~ includes information on the 2420 highest performing of these Independent Advisors and Table ~~45B14B~~ includes information on the 2420 lowest performing of these Independent Advisors, as compared to their Total GDC at their prior firms.

** Consists of Time-of-Sale and Trail GDC.

*** Expenses are not included in this figure, but are necessary to run a business; these types of costs can vary significantly from individual to individual. ~~The~~ Independent Advisor is responsible for determining the cost he or she will incur for these expenses (see Items 5, 6, and 7 for more information).

NOTES TO TABLES ~~15A & 15B~~ 14A AND 14B:

1. Tables ~~15A & 15B~~ 14A and 14B represents actual GDC data from an Independent Advisor's first 24 months as an Ameriprise Independent Advisor, who joined the firm between January 1, 2017 and ~~September 4~~ December 31, 2019. Independent Advisors may have purchased or sold practices as part of their GDC sales volume, however, these are not accounted for in Tables ~~15A~~ 14A or ~~15B~~ 14B. In addition, product mix is specific to individual Independent Advisors and may vary among Independent Advisors; the product mix of a new Independent Advisor may differ from the product mix of an experienced Independent Advisor. This difference in product mix will cause earnings to differ because different products have different GDC rates, which, in turn, affects an Independent Advisor's gross income. Ameriprise Financial's average product mix (based on Independent Advisor national data) is illustrated in Table 2 (~~above~~ below).
2. A description of the specific columns, which make up Tables ~~15A & 15B~~ 14A and 14B are as follows:
Description of Tables ~~15A & 15B~~ 14A and 14B:
 - Column A: Advisor - An individual Independent Advisor that meets the qualifications described in the notes under Tables ~~15A~~ 14A and ~~15B~~ 14B.
 - Column B: Percent of Growth by Month 24 - The ~~percent~~ percentage of growth achieved by an Independent Advisor's 24th month as an Ameriprise Independent Advisor, ~~which that~~ exceeds their Recruited Total GDC.
 - Column C: Total GDC by Month 24 - The total gross dealer concession amount from new business, also known as Time of Sale GDC and trails, by an Independent Advisor's 24th month ~~at the firm as an~~ Ameriprise Independent Advisor.
 - Column D: Recruited Total GDC - The total ~~GDC~~ gross dealer concession amount at the time of an Independent Advisor's recruitment.
 - Column E: Recruited AUM - The amount of assets under management at the time of an Independent Advisor's recruitment.
 - Column F: Percent of Actual Ramp Up - The ~~percent~~ percentage of actual ramp up growth achieved by an Independent Advisor's 24th month as an Ameriprise Independent Advisor, as compared to their Recruited Total GDC.
3. GDC sales volumes vary considerably due to a variety of factors, such as:
 - Office and client location, including the ~~particulars~~ specific geographic Region he or she is located ~~in~~.
 - Individual Independent ~~Advisors'~~ Advisor's investment in business.
 - Individual Independent ~~Advisors'~~ Advisor's marketing and investment advice skills.
 - Tenure as an Independent Advisor (i.e., a more veteran Independent Advisor will typically have a larger book of business and more client assets invested through Ameriprise Financial, ~~and so~~ therefore, will often have higher compensation than an Independent Advisor earlier in his or her career).
 - Other financial service firms in the immediate market.
 - Advertising and promotional opportunities.
 - Field leadership management efforts.
 - ~~The amount of assets and size of client base that an Independent Advisor possesses at the time he or she becomes a franchisee.~~
 - ~~Other financial service firms in the immediate market.~~
 - ~~Advertising and promotional opportunities.~~
 - ~~Field leadership management efforts.~~
 - ~~The amount of assets and size of client base that an Independent Advisor possesses at the time he or she becomes a franchisee.~~
 - Economic market conditions.

Table 15: 2016-2019 AUM Ramp Up of Independent Advisors Versus Industry

In March 2020, we participated in a third-party study conducted by the McLagan Data & Analytics, a product of Aon, a leading global professional service firm (“McLagan”). In addition to Ameriprise Financial, five other financial service firms also participated in the study: Advisor Group, Cambridge Investment, LPL Financial Services, Raymond James Financial, and Wells Fargo Finet (collectively with Ameriprise Financial, “Participating Firms”) and does not include any other financial services firms. As part of the study, all Participating Firms agreed to provide McLagan with specific data related to all franchised, licensed or affiliated financial advisors that joined the Participating Firms from other firms in 2016, 2017, and 2018 (“Recruits”). This study did not include among Recruits any financial advisors directly employed by the Participating Firms.

Data provided to McLagan on the Recruits included: (1) the value of the Recruits’ assets under management at the prior firm at the time the Recruit left the prior firm (“Recruited AUM”); (2) the value of the Recruits’ assets under management after a full 12 months after they joined the Participating Firm (“12 Month AUM”); (3) the value of the Recruits’ assets under management after a full 24 months after they joined the Participating Firm (“24 Month AUM”); and (4) the value of the Recruits’ assets under management after a full 36 months after they joined the Participating Firm (“36 Month AUM”).

Based on the data provided by the Participating Firms, McLagan published a confidential study that concluded Ameriprise had the highest median 12 Month AUM, 24 Month AUM, and 36 Month AUM as a percentage of the same Recruits’ Recruited AUM when compared to the other 5 Participating Firms, and therefore, Ameriprise Financial Recruits ramped up faster than the other Participating Firms:

	Rankings ⁷		
	Months 1-12 Ranking ⁴	Months 13-24 Ranking ⁵	Months 24-36 Ranking ⁶
2016 Recruits ¹	1 (of 6)	1 (of 6)	1 (of 6)
2017 Recruits ²	1 (of 6)	1 (of 6)	N/A
2018 Recruits ³	1 (of 6)	N/A	N/A

NOTES TO TABLE 15:

1. 2016 Recruits joined the Participating Firms in the 2016 calendar year.
2. 2017 Recruits joined the Participating Firms in the 2017 calendar year.
3. 2018 Recruits joined the Participating Firms in the 2018 calendar year.
4. In determining the Months 1-12 ranking for all Participating Firms, McLagan calculated each Recruit’s 12 Month AUM as a percentage of their Recruited AUM. The median of these percentages for Recruits from each of the six Participating Firms was compared against the median of other Participating Firms.
5. In determining the Months 12-24 ranking for all Participating Firms, McLagan calculated each Recruit’s 24 Month AUM as a percentage of their Recruited AUM. The median of these percentages for Recruits from each of the six Participating Firms was compared against the median of other Participating Firms.
6. In determining the Months 24-36 ranking for all Participating Firms, McLagan calculated each Recruit’s 36 Month AUM as a percentage of their Recruited AUM. The median of these percentages for Recruits from each of the six Participating Firms was compared against the median of other Participating Firms.
7. In all years, Recruits were only counted for periods where they remained at the Participating Firm for the full period of time after their recruitment. For example, if a Recruit joined a Participating Firm in 2016 and left the Participating Firm after 28 months, that Recruit’s data would be included with the 2016 Recruits for Months 1-12 and 13-24, but not included in Months 24-36.

Ameriprise Business Development Coaching Program

The Ameriprise Business Development Coaching Program is made available to all Independent Advisors, free of charge, and includes focus groups aimed to help Independent Advisors evolve to the scale of their business, increase the number of collaborative client conversations, and upgrade their client experience.

Table ~~17A: 16A: 2021 Year-Over-Year~~~~2020 Annual Client Acquisition~~ Growth Rate for Independent Advisors Enrolled in the Ameriprise Business Development Coaching Program Client Acquisition Focus Group

	Number of Independent Advisors in Client Acquisition Focus Group	Total ~~500k+~~ Client Acquisition for Independent Advisors in Client Acquisition Focus Group as of Jan. 7, ~~2021~~ ~~2020~~	Total ~~500k+~~ Client Acquisition for Independent Advisors in Client Acquisition Focus Group as of Dec. 31, ~~2021~~ ~~2020~~	Average ~~Annual~~ ~~Year-Over-Year~~ Client Acquisition Growth Rate for Year Ending Dec. 31, ~~2021~~ ~~2020~~	Number of Independent Advisors that Met or Exceeded the Average Annual Growth Rate
Ameriprise Independent Advisors	~~159~~ ~~72~~ ,018	~~95~~ ~~84~~ ,128	~~3,58~~ ~~16~~ ,108	~~27~~ ~~47~~ %	~~65~~ ~~88~~ 47

Table ~~17B: 16B: 2021 Year-Over-Year~~~~2020 Annual Financial Planning~~ Growth Rate for Independent Advisors Enrolled in the Ameriprise Business Development Coaching Program Financial Planning Focus Group

	Number of Independent Advisors in Financial Planning Focus Group	Total Financial Plans for Independent Advisors in Financial Planning Focus Group as of Jan. 7, ~~2021~~ ~~2020~~	Total Financial Plans for Independent Advisors in Financial Planning Focus Group as of Dec. 31, ~~2021~~ ~~2020~~	Average ~~Annual~~ ~~Year-Over-Year~~ Financial Planning Growth Rate for Year Ending Dec. 31, ~~2021~~ ~~2020~~	Number of Independent Advisors that Met or Exceeded the Average Annual Growth Rate
Ameriprise Independent Advisors	~~16~~ ~~44~~ 1,890	~~3,75~~ ~~35~~ 5,992	~~52,85~~ ~~16~~ 4,882	~~7~~ ~~21~~ %	~~57~~ ~~78~~ 09

Table ~~17C: 16C: 2021 Year-Over-Year~~~~2020 Annual Net Flows~~ Growth Rate for Independent Advisors Enrolled in the Ameriprise Business Development Coaching Program Net Flows Focus Group

	Number of Independent Advisors in Net Flows Focus Group	Average Net Flows for Independent Advisors in Net Flows Focus Group as of Jan. 7, ~~2021~~ ~~2020~~	Average Net Flows for Independent Advisors in Net Flows Focus Group as of Dec. 31, ~~2021~~ ~~2020~~	Average ~~Annual~~ ~~Year-Over-Year~~ Net Flows Growth Rate for Year Ending Dec. 31, ~~2021~~ ~~2020~~	Number of Independent Advisors that Met or Exceeded the Average Annual Growth Rate
Ameriprise Independent Advisors	~~94~~ ~~71~~ ,088	~~\$1.68~~ ~~B3.07~~ M	~~\$1.69~~ ~~6.15~~ M	~~99~~ ~~104~~ %	~~21~~ ~~23~~ 33

NOTES TO TABLES ~~17A, 17B, & 17C~~16A, 16B, AND 16C:

- Tables ~~17A, 17B, & 17C~~16A, 16B, and 16C data covers new Independent Advisors across the U.S. that: (1) enrolled in the Ameriprise Business Development Coaching Program; (2) became an Independent Advisor between January 1, ~~2018~~~~2019~~ and December 31, ~~2020~~~~2019~~; and (3) had not previously worked at a financial services firm. These tables do not include data for Independent Advisors enrolled in the Ameriprise Business Development Coaching Program who joined the firm as experienced advisor recruits or that acquired a practice.
- Table ~~17A~~~~16A~~ data covers the ~~average annual client acquisition~~~~year-over-year~~ growth rate for Independent Advisors enrolled in the Ameriprise Business Development Coaching Program client acquisition focus group from January 7, ~~2021~~~~2020~~ through December 31, ~~2021~~~~2020~~. Client acquisition is the measure of new

clients with \$~~100~~500,000+ in assets.

3. In the Ameriprise Business Development Coaching Program client acquisition focus group, there were ~~1,597~~2,018 Independent Advisors measured who were enrolled for the entire calendar year ending December 31, ~~2021~~2020. The total number of client acquisitions for all ~~1,597~~2,018 Independent Advisors was ~~958,128~~ as of January 7, ~~2021~~2020, and ~~3,584,108~~ as of December 31, ~~2021~~2020.
4. The average annual ~~client acquisition~~ growth rate ("AAGR") for Independent Advisors measured in the Ameriprise Business Development Coaching Program client acquisition focus group was calculated with a standard AAGR formula: the total number of client acquisitions for Independent Advisors measured in the client acquisition focus group as of January 7, ~~2021~~2020 was divided by the total number of client acquisitions for the same group as of December 31, ~~2021~~2020, before multiplying the subsequent result by 100. Of the ~~1,597~~2,018 Independent Advisors measured, ~~658,847~~ Independent Advisors met or exceeded the average annual client acquisition growth rate ~~of 47%~~.
5. Table ~~17B16B~~ data covers the ~~average annual financial planning~~year-over-year growth rate for Independent Advisors enrolled in the Ameriprise Business Development Coaching Program financial planning focus group from January 7, ~~2020~~2021 through December 31, ~~2021~~2020. Financial planning is comprehensive advice provided to clients.
6. In the Ameriprise Business Development Coaching Program financial planning focus group, there were ~~1,644~~890 Independent Advisors measured who were enrolled for the entire calendar year ending December 31, ~~2021~~2020. The total number of financial plans for all ~~1,644~~890 Independent Advisors was ~~3,753,555,992~~ as of January 7, ~~2021~~2020, and ~~52,851,64,882~~ as of December 31, ~~2021~~2020.
7. The average annual ~~financial planning~~ growth rate ("AAGR") for Independent Advisors measured in the Ameriprise Business Development Coaching Program financial planning focus group was calculated with a standard AAGR formula: the total number of financial plans for Independent Advisors measured in the financial planning focus group as of January 7, ~~2021~~2020 was divided by the total number of financial plans for the same group as of December 31, ~~2021~~2020, before multiplying the subsequent result by 100. Of the ~~1,644~~890 Independent Advisors measured, ~~577,809~~ Independent Advisors met or exceeded the average annual financial planning growth rate ~~of 21%~~.
8. Table ~~17C16C~~ data covers the ~~average annual net flows~~year-over-year growth rate for Independent Advisors enrolled in the Ameriprise Business Development Coaching Program net flows focus group from January 7, ~~2021~~2020 through December 31, ~~2021~~2020. Net flows is the measure of client asset retention.
9. In the Ameriprise Business Development Coaching Program net flows focus group, there were ~~947,108~~ Independent Advisors measured who were enrolled for the entire calendar year ending December 31, ~~2021~~2020. The average year-over-year net flows for all ~~947,108~~ Independent Advisors was ~~\$1.68B~~ \$3.07M as of January 7, ~~2021~~2020, and ~~\$1.69B~~6.15M as of December 31, ~~2021~~2020.
10. The average annual ~~net flows~~ growth rate ("AAGR") for Independent Advisors measured in the Ameriprise Business Development Coaching Program net flows focus group was calculated with a standard AAGR formula: the average net flows for Independent Advisors measured in the net flows focus group as of January 7, ~~2021~~2020 was divided by the average net flows for the same group as of December 31, ~~2021~~2020, before multiplying the subsequent result by 100. Of the ~~947,108~~ Independent Advisors measured, ~~242,333~~ Independent Advisors met or exceeded the average annual net flows growth rate ~~of 104%~~.

Some Independent Advisors have earned these amounts. Your individual results may differ. There is no assurance that you will earn as much. If you rely upon these figures, you must accept the risk of not doing as well.

Other than the preceding financial performance representations, we do not make any financial performance representations. We also do not authorize our employees or representatives to make any such representations, either orally or in writing. If you receive any other financial performance information or projections of your future income, you should report it to Ameriprise Financial's Franchise Operations at ~~960~~200 Ameriprise Financial Center, Minneapolis, Minnesota 55474, 612-671-5262, or at ufocandfddquestions@ampf.com, the Federal Trade Commission, and the appropriate state regulatory agencies.

ITEM 20

TABLE 1: LIST OF OUTLETS AND FRANCHISE INFORMATION
SYSTEM-WIDE OUTLET SUMMARY FOR YEARS ~~2018~~, 2019, 2020,

Outlet Type	Year	Outlets at the Start of the Year	Outlets at the End of the Year	Net Change
Franchised	~~2018~~	4461	4411	-50
	~~2019~~	4353	4246	-107
	~~2020~~	4281	4309	+28
Company-Owned	~~2018~~	1762	1846	+84
	~~2019~~	1744	1723	-21
	~~2020~~	1879	1934	+55
Total Outlets	~~2018~~	6223	6257	+34
	~~2019~~	6097	5969	-128
	~~2020~~	6160	6243	+83

NOTES TO TABLE 1:

1. This Table includes outlets in our Ameriprise Financial Institutions Group (“AFIG”).

TABLE 2: TRANSFERS OF OUTLETS FROM FRANCHISEES TO NEW OWNERS
(OTHER THAN THE FRANCHISOR) FOR YEARS ~~2018~~, 2019, 2020, AND
2021~~2020~~

State	Year	Number of Transfers
Alabama	~~2019~~ <u>2018</u>	<u>43</u>
	~~2020~~ <u>2019</u>	<u>34</u>
	~~2020~~ <u>2021</u>	<u>45</u>
Alaska	~~2019~~ <u>2018</u>	<u>03</u>
	~~2020~~ <u>2019</u>	<u>30</u>
	~~2020~~ <u>2021</u>	<u>01</u>
Arizona	~~2019~~ <u>2018</u>	~~12~~ <u>10</u>
	~~2020~~ <u>2019</u>	~~10~~ <u>9</u>
	~~2020~~ <u>2021</u>	~~9~~ <u>14</u>
Arkansas	~~2019~~ <u>2018</u>	4
	~~2020~~ <u>2019</u>	<u>41</u>
	~~2020~~ <u>2021</u>	1
California	~~2019~~ <u>2018</u>	59
	~~2020~~ <u>2019</u>	~~59~~ <u>41</u>
	~~2020~~ <u>2021</u>	~~41~~ <u>36</u>
Colorado	~~2019~~ <u>2018</u>	~~12~~ <u>15</u>
	~~2020~~ <u>2019</u>	~~15~~ <u>2</u>
	~~2020~~ <u>2021</u>	<u>24</u>
Connecticut	~~2019~~ <u>2018</u>	24
	~~2020~~ <u>2019</u>	~~24~~ <u>11</u>
	~~2020~~ <u>2021</u>	11
Delaware	~~2019~~ <u>2018</u>	<u>40</u>
	~~2020~~ <u>2019</u>	<u>08</u>
	~~2020~~ <u>2021</u>	<u>81</u>
	~~2019~~ <u>2018</u>	0

District of Columbia	~~2020~~ ~~2019~~	0
	~~2020~~ ~~2021~~	0

State	Year	Number of Transfers
Florida	~~2019~~ ~~2018~~	~~28~~ ~~20~~
	~~2020~~ ~~2019~~	~~20~~ ~~28~~
	~~2020~~ ~~2021~~	~~28~~ ~~37~~
Georgia	~~2019~~ ~~2018~~	~~12~~ ~~8~~
	~~2020~~ ~~2019~~	~~8~~
	~~2020~~ ~~2021~~	~~8~~ ~~17~~
Hawaii	~~2019~~ ~~2018~~	~~8~~ ~~3~~
	~~2020~~ ~~2019~~	~~34~~
	~~2020~~ ~~2021~~	~~43~~
Idaho	~~2019~~ ~~2018~~	~~1~~
	~~2020~~ ~~2019~~	~~12~~
	~~2020~~ ~~2021~~	~~21~~
Illinois	~~2019~~ ~~2018~~	~~13~~ ~~17~~
	~~2020~~ ~~2019~~	~~17~~ ~~13~~
	~~2020~~ ~~2021~~	~~13~~ ~~18~~
Indiana	~~2019~~ ~~2018~~	~~8~~ ~~13~~
	~~2020~~ ~~2019~~	~~133~~
	~~2020~~ ~~2021~~	~~39~~
Iowa	~~2019~~ ~~2018~~	~~129~~
	~~2020~~ ~~2019~~	~~9~~ ~~15~~
	~~2020~~ ~~2021~~	~~15~~ ~~11~~
Kansas	~~2018~~ ~~2019~~	~~92~~
	~~2020~~ ~~2019~~	~~212~~
	~~2020~~ ~~2021~~	~~123~~
Kentucky	~~2018~~ ~~2019~~	~~213~~
	~~2020~~ ~~2019~~	~~138~~
	~~2020~~ ~~2021~~	~~87~~
Louisiana	~~2018~~ ~~2019~~	~~36~~
	~~2020~~ ~~2019~~	~~62~~
	~~2020~~ ~~2021~~	~~25~~
Maine	~~2018~~ ~~2019~~	~~42~~
	~~2020~~ ~~2019~~	~~21~~
	~~2020~~ ~~2021~~	~~46~~
Maryland	~~2019~~ ~~2018~~	~~10~~
	~~2020~~ ~~2019~~	~~10~~ ~~12~~
	~~2020~~ ~~2021~~	~~128~~
Massachusetts	~~2018~~ ~~2019~~	~~17~~
	~~2020~~ ~~2019~~	~~17~~ ~~16~~
	~~2020~~ ~~2021~~	~~16~~
Michigan	~~2018~~ ~~2019~~	~~28~~ ~~38~~
	~~2020~~ ~~2019~~	~~38~~ ~~27~~
	~~2020~~ ~~2021~~	~~27~~ ~~24~~
	~~2019~~ ~~2018~~	~~64~~ ~~56~~

Minnesota	~~2020~~ 2019	5645
	~~2020~~ 2021	4557

State	Year	Number of Transfers
Mississippi	~~2018~~ 2019	30
	~~2020~~ 2019	0
	~~2020~~ 2021	0
Missouri	~~2018~~ 2019	61
	~~2020~~ 2019	44
	~~2020~~ 2021	43
Montana	~~2019~~ 2018	48
	~~2020~~ 2019	86
	~~2020~~ 2021	65
Nebraska	~~2019~~ 2018	26
	~~2020~~ 2019	63
	~~2020~~ 2021	3
Nevada	~~2019~~ 2018	45
	~~2020~~ 2019	52
	~~2020~~ 2021	21
New Hampshire	~~2019~~ 2018	98
	~~2020~~ 2019	814
	~~2020~~ 2021	149
New Jersey	~~2019~~ 2018	2428
	~~2020~~ 2019	2813
	~~2020~~ 2021	4315
New Mexico	~~2019~~ 2018	40
	~~2020~~ 2019	0
	~~2020~~ 2021	0
New York	~~2018~~ 2019	3749
	~~2020~~ 2019	4937
	~~2020~~ 2021	3743
North Carolina	~~2019~~ 2018	419
	~~2020~~ 2019	9
	~~2020~~ 2021	910
North Dakota	~~2019~~ 2018	428
	~~2020~~ 2019	87
	~~2020~~ 2021	72
Ohio	~~2019~~ 2018	2537
	~~2020~~ 2019	3733
	~~2020~~ 2021	3328
Oklahoma	~~2019~~ 2018	32
	~~2020~~ 2019	21
	~~2020~~ 2021	44
Oregon	~~2019~~ 2018	10
	~~2020~~ 2019	439
	~~2020~~ 2021	95

Pennsylvania	~~2019~~ 2018	2725
	~~2020~~ 2019	2527
	20202021	2729

State	Year	Number of Transfers
Rhode Island	~~2019~~ 2018	53
	~~2020~~ 2019	31
	20202021	42
South Carolina	~~2019~~ 2018	53
	~~2020~~ 2019	3
	20202021	36
South Dakota	~~2019~~ 2018	85
	~~2020~~ 2019	58
	20202021	85
Tennessee	~~2019~~ 2018	711
	~~2020~~ 2019	448
	20202021	87
Texas	~~2019~~ 2018	4936
	~~2020~~ 2019	3642
	20202021	4234
Utah	~~2019~~ 2018	23
	~~2020~~ 2019	32
	20202021	21
Vermont	~~2019~~ 2018	0
	~~2020~~ 2019	0
	20202021	01
Virginia	~~2019~~ 2018	14
	~~2020~~ 2019	456
	20202021	612
Washington	~~2019~~ 2018	2420
	~~2020~~ 2019	2018
	20202021	4822
West Virginia	~~2019~~ 2018	24
	~~2020~~ 2019	40
	20202021	0
Wisconsin	~~2019~~ 2018	2019
	~~2020~~ 2019	1920
	20202021	2013
Wyoming	~~2019~~ 2018	43
	~~2020~~ 2019	32
	20202021	20
Totals	~~2019~~ 2018	648654
	~~2020~~ 2019	654547
	20202021	547555

Notes: State Year Number of Transfers
NOTES TO TABLE 2:

1. This Table reflects only full franchise transfers and does not include partial franchise transfers or individual client account transfers.
2. ~~Franchisees~~Independent Advisors may receive a referral fee of \$1,500 or a bonus of up to \$20,000 for each prospective franchisee who they refer to us and who becomes an Independent Advisor. Other employees of ours, independent contractors, or employees of Independent Advisors may also receive referral fees when they refer prospective franchisees that join the System.
3. This Table includes outlets in AFIG.

**TABLE 3: STATUS OF FRANCHISED OUTLETS
FOR YEARS ~~2018~~, 2019, 2020, AND
2021~~2020~~**

State	Year	Outlets at Start of Year	Outlets Opened	Terminations	Non-Renewals	Reacquired by Us	Ceased Operations – Other Reasons	Outlets at End of Year
Alabama	~~2019~~ ~~2018~~	~~38~~ <u>37</u>	1	~~0~~ <u>2</u>	0	0	0	~~39~~ <u>36</u>
	~~2020~~ ~~2019~~	~~37~~ <u>36</u>	1	~~2~~ <u>0</u>	0	0	0	~~36~~ <u>37</u>
	~~2020~~ ~~2021~~	~~36~~ <u>35</u>	~~4~~ <u>0</u>	0	0	0	0	~~37~~ <u>35</u>
Alaska	~~2019~~ ~~2018~~	~~3~~ <u>4</u>	0	0	0	0	0	~~3~~ <u>4</u>
	~~2020~~ ~~2019~~	4	0	0	0	0	0	4
	~~2020~~ ~~2021~~	4	0	0	0	0	0	4
Arizona	~~2019~~ ~~2018~~	~~63~~ <u>55</u>	2	~~2~~ <u>7</u>	0	0	0	~~63~~ <u>50</u>
	~~2020~~ ~~2019~~	~~55~~ <u>57</u>	2	~~7~~ <u>2</u>	0	~~0~~ <u>5</u>	0	~~50~~ <u>52</u>
	~~2020~~ ~~2021~~	~~57~~ <u>60</u>	~~2~~ <u>0</u>	~~2~~ <u>0</u>	0	~~5~~ <u>0</u>	0	~~52~~ <u>60</u>
Arkansas	~~2019~~ ~~2018~~	~~24~~ <u>23</u>	~~3~~ <u>0</u>	~~4~~ <u>1</u>	0	0	0	~~23~~ <u>22</u>
	~~2020~~ ~~2019~~	~~23~~ <u>22</u>	0	1	0	0	0	~~22~~ <u>21</u>
	~~2020~~ ~~2021~~	~~22~~ <u>21</u>	0	1	0	0	0	~~21~~ <u>20</u>
California	~~2019~~ ~~2018~~	~~372~~ <u>37</u> <u>0</u>	9	~~4~~ <u>3</u> <u>9</u>	0	~~4~~ <u>0</u>	0	~~369~~ <u>3</u> <u>70</u>
	~~2020~~ ~~2019~~	~~370~~ <u>36</u> <u>3</u>	~~9~~ <u>1</u> <u>0</u>	~~9~~ <u>1</u> <u>0</u>	0	~~0~~ <u>3</u>	0	~~370~~ <u>3</u> <u>60</u>
	~~2020~~ ~~2021~~	~~363~~ <u>36</u> <u>1</u>	~~4~~ <u>0</u> <u>3</u>	~~4~~ <u>0</u> <u>5</u>	0	~~3~~ <u>0</u>	0	~~360~~ <u>2</u> <u>59</u>
Colorado	~~2019~~ ~~2018~~	~~41~~ <u>39</u>	~~2~~ <u>0</u>	2	~~4~~ <u>0</u>	0	0	~~40~~ <u>37</u>
	~~2020~~ ~~2019~~	~~39~~ <u>41</u>	0	~~2~~ <u>0</u>	0	0	0	~~37~~ <u>41</u>
	~~2020~~ ~~2021~~	~~41~~ <u>42</u>	0	~~0~~ <u>1</u>	0	0	0	41
Connecticut	~~2019~~ ~~2018~~	~~98~~ <u>91</u>	2	~~2~~ <u>6</u>	0	0	0	~~98~~ <u>87</u>
	~~2020~~ ~~2019~~	~~94~~ <u>87</u>	~~2~~ <u>0</u>	~~6~~ <u>5</u>	0	~~0~~ <u>1</u>	0	~~87~~ <u>81</u>
	~~2020~~ ~~2021~~	~~87~~ <u>86</u>	~~0~~ <u>1</u>	~~5~~ <u>2</u>	0	~~4~~ <u>0</u>	0	~~84~~ <u>85</u>
	~~2019~~ ~~2018~~	~~24~~ <u>22</u>	~~0~~ <u>1</u>	0	0	0	0	~~24~~ <u>23</u>

Delaware	~~2020~~ ~~019~~	~~22~~ <u>19</u>	1	~~02~~	0	0	0	~~23~~ <u>18</u>
	~~2020~~ ~~021~~	~~49~~ <u>17</u>	~~40~~	~~20~~	0	0	0	~~48~~ <u>17</u>
District of Columbia	~~2019~~ ~~018~~	2	0	~~40~~	0	0	0	2
	~~2020~~ ~~019~~	2	0	0	0	0	0	2
	~~2020~~ ~~021~~	2	0	0	0	0	0	2
Florida	~~2019~~ ~~018~~	~~238~~ <u>24</u> 2	~~75~~	~~38~~	~~01~~	~~40~~	0	~~240~~ ~~38~~
	~~2020~~ ~~019~~	~~242~~ <u>24</u> 1	~~56~~	8	1	~~03~~	0	~~238~~ ~~35~~
	~~2020~~ ~~021~~	~~244~~ <u>24</u> 3	~~63~~	8	~~40~~	~~30~~	0	~~235~~ ~~38~~
Georgia	~~2019~~ ~~018~~	~~88~~ <u>90</u>	2	~~31~~	0	0	0	~~87~~ <u>97</u>
	~~2020~~ ~~019~~	~~90~~ <u>88</u>	2	~~42~~	0	0	0	~~94~~ <u>88</u>
	~~2020~~ ~~021~~	~~88~~ <u>85</u>	~~20~~	~~23~~	0	0	0	~~88~~ <u>82</u>
Hawaii	~~2019~~ ~~018~~	~~50~~ <u>46</u>	1	~~24~~	0	0	0	~~49~~ <u>43</u>
	~~2020~~ ~~019~~	~~46~~ <u>43</u>	1	~~43~~	0	0	0	~~43~~ <u>41</u>
	~~2020~~ ~~021~~	~~43~~ <u>44</u>	1	~~31~~	0	0	0	~~41~~ <u>44</u>
Idaho	~~2019~~ ~~018~~	10	0	0	0	0	0	10
	~~2020~~ ~~019~~	10	0	0	0	0	0	10
	~~2020~~ ~~021~~	10	0	0	0	0	0	10
Illinois	~~2019~~ ~~018~~	~~452~~ <u>14</u> 5	2	~~65~~	0	~~20~~	0	~~450~~ ~~42~~
	~~2020~~ ~~019~~	~~445~~ <u>15</u> 2	2	~~52~~	0	~~08~~	0	~~442~~ ~~44~~
	~~2020~~ ~~021~~	~~452~~ <u>14</u> 4	~~23~~	~~23~~	0	~~80~~	0	144

State	Year	Outlets at Start of Year	Outlets Opened	Terminations	Non- Renewals	Reacquired by Us	Ceased- Operations —Other Reasons	Outlets at End of Year
Indiana	2018	81	1	5	1	1	0	77
	2019	78	1	2	0	0	0	77
	2020	78	1	2	0	0	0	77
Iowa	2018	92	2	4	0	0	0	90
	2019	92	1	0	0	0	0	93
	2020	87	1	4	0	0	0	84
Kansas	2018	47	1	1	0	0	0	47
	2019	46	0	1	0	0	0	45
	2020	41	0	5	0	0	0	36
Kentucky	2018	40	1	0	0	0	0	41
	2019	41	1	1	0	0	0	41
	2020	39	1	2	0	0	0	38
Louisiana	2018	48	1	1	0	0	0	48
	2019	45	0	3	0	0	0	42
	2020	45	0	1	0	0	0	44
Maine	2018	27	1	2	0	0	0	26
	2019	27	1	1	0	0	0	27
	2020	26	1	1	0	0	0	26
Maryland	2018	99	2	4	1	4	0	100
	2019	96	1	1	0	0	0	96
	2020	93	1	5	0	3	0	86
Massachusetts	2018	194	8	6	1	0	0	195
	2019	193	0	1	0	0	0	192
	2020	189	0	3	0	0	0	186
Michigan	2018	196	2	11	0	1	0	188
	2019	200	2	3	0	0	0	199
	2020	196	2	8	1	2	0	187
Minnesota	2018	299	2	9	0	0	0	292
	2019	283	2	10	0	0	0	275
	2020	277	2	3	0	0	0	276
Mississippi	2018	11	1	2	0	0	0	10
	2019	10	0	1	0	0	0	9
	2020	9	0	0	0	0	0	9
Missouri	2018	50	0	1	0	0	0	49
	2019	47	0	2	0	0	0	45
	2020	50	0	0	0	5	0	45
Montana	2018	17	0	0	0	0	0	17
	2019	15	0	2	0	0	0	13
	2020	13	0	3	0	0	0	10
Nebraska	2018	32	1	1	0	0	0	32
	2019	31	1	0	0	0	0	32
	2020	31	1	0	0	0	0	32
Nevada	2018	29	0	0	0	0	0	29
	2019	27	0	2	1	0	0	24
	2020	21	0	5	0	0	0	16

State	Year	Outlets at Start of Year	Outlets Opened	Terminations	Non- Renewals	Reacquired by Us	Ceased Operations — Other Reasons	Outlets at End of Year
New-Hampshire Indiana	2019 018	4078	01	02	0	40	0	4177
	2020 019	4378	01	02	0	0	0	4377
	2020 021	4575	0	03	0	40	0	4472
New-Jersey Iowa	2019 018	46692	41	70	0	40	0	46493
	2020 019	46087	31	424	0	0	0	45184
	2020 021	45885	21	82	40	40	0	45084
New-Mexico Kansas	2019 018	946	0	01	0	0	0	945
	2020 019	941	0	05	0	0	0	936
	2020 021	941	0	02	0	0	0	939
New-York Kentucky	2019 018	30441	21	421	0	0	0	29411
	2020 019	28939	21	472	0	0	0	27438
	2020 021	27940	30	460	0	0	0	26640
North-Carolina Louisiana	2019 018	9645	0	23	0	0	0	9442
	2020 019	9745	0	31	0	0	0	9444
	2020 021	9146	01	50	0	0	0	8645
North-Dakota Maine	2019 018	4527	01	31	0	0	0	4227
	2020 019	4526	01	01	0	0	0	4526
	2020 021	4626	0	0	0	0	0	4626
Ohio Maryland	2019 018	21296	41	61	0	20	0	21296
	2020 019	20693	31	75	0	03	0	20286
	2020 021	20595	31	52	0	20	0	20494
Massachusetts Oklahoma	2019 018	27193	0	1	0	20	0	28192
	2020 019	26189	0	23	0	0	0	24186
	2020 021	26183	02	05	0	0	0	26180
Michigan Oregon	2019 018	62200	32	03	0	40	0	64192
	2020 019	60196	32	48	0	02	0	66187
	2020 021	59194	32	46	0	0	0	64190

~~Pennsylvania~~ <u>Minnesota</u>	~~2019~~ <u>2018</u>	~~236~~ <u>228</u>	~~42~~ <u>3</u>	~~310~~ <u>3</u>	~~0~~ <u>0</u>	~~40~~ <u>0</u>	~~0~~ <u>0</u>	~~2382~~ <u>75</u>
	~~2020~~ <u>2019</u>	~~229~~ <u>227</u>	~~2~~ <u>7</u>	~~83~~ <u>7</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2232~~ <u>76</u>
	~~2020~~ <u>2021</u>	~~225~~ <u>226</u>	~~20~~ <u>4</u>	~~310~~ <u>4</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2242~~ <u>54</u>
~~Rhode-Island~~ <u>Mississippi</u>	~~2019~~ <u>2018</u>	~~34~~ <u>10</u>	~~0~~ <u>0</u>	~~1~~ <u>0</u>	~~0~~ <u>0</u>	~~40~~ <u>0</u>	~~0~~ <u>0</u>	~~349~~ <u>0</u>
	~~2020~~ <u>2019</u>	~~33~~ <u>9</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~329~~ <u>0</u>
	~~2020~~ <u>2021</u>	~~32~~ <u>10</u>	~~0~~ <u>1</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~3411~~ <u>0</u>
~~Missouri~~ <u>South Carolina</u>	~~2019~~ <u>2018</u>	~~47~~ <u>0</u>	~~20~~ <u>32</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~4649~~ <u>0</u>
	~~2020~~ <u>2019</u>	~~46~~ <u>50</u>	~~0~~ <u>40</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~05~~ <u>0</u>	~~0~~ <u>0</u>	~~45~~ <u>0</u>
	~~2020~~ <u>2021</u>	~~48~~ <u>49</u>	~~0~~ <u>21</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~4648~~ <u>0</u>
~~South Dakota~~ <u>Montana</u>	~~2019~~ <u>2018</u>	~~29~~ <u>15</u>	~~0~~ <u>42</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2813~~ <u>0</u>
	~~2020~~ <u>2019</u>	~~26~~ <u>13</u>	~~0~~ <u>3</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2310~~ <u>0</u>
	~~2020~~ <u>2021</u>	~~25~~ <u>13</u>	~~0~~ <u>31</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2512~~ <u>0</u>
~~Tennessee~~ <u>Nebraska</u>	~~2019~~ <u>2018</u>	~~74~~ <u>31</u>	~~0~~ <u>1</u>	~~30~~ <u>40</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~7432~~ <u>0</u>
	~~2020~~ <u>2019</u>	~~72~~ <u>31</u>	~~0~~ <u>1</u>	~~40~~ <u>20</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~7432~~ <u>0</u>
	~~2020~~ <u>2021</u>	~~73~~ <u>30</u>	~~0~~ <u>20</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~7430~~ <u>0</u>
~~Texas~~ <u>Nevada</u>	~~2019~~ <u>2018</u>	~~248~~ <u>27</u>	~~140~~ <u>432</u>	~~432~~ <u>01</u>	~~01~~ <u>40</u>	~~40~~ <u>0</u>	~~0~~ <u>0</u>	~~2472~~ <u>4</u>
	~~2020~~ <u>2019</u>	~~244~~ <u>21</u>	~~20~~ <u>435</u>	~~435~~ <u>40</u>	~~40~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2291~~ <u>6</u>
	~~2020~~ <u>2021</u>	~~247~~ <u>20</u>	~~40~~ <u>61</u>	~~61~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~0~~ <u>0</u>	~~2451~~ <u>9</u>

<u>State</u>	<u>Year</u>	<u>Outlets at Start of Year</u>	<u>Outlets Opened</u>	<u>Terminations</u>	<u>Non-Renewals</u>	<u>Reacquired by Us</u>	<u>Ceased Operations – Other Reasons</u>	<u>Outlets at End of Year</u>
<u>New Hampshire</u>	<u>2019</u>	<u>43</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>43</u>
	<u>2020</u>	<u>45</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>44</u>
	<u>2021</u>	<u>47</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>47</u>
<u>New Jersey</u>	<u>2019</u>	<u>160</u>	<u>3</u>	<u>12</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>151</u>
	<u>2020</u>	<u>158</u>	<u>2</u>	<u>8</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>150</u>
	<u>2021</u>	<u>158</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>159</u>
<u>New Mexico</u>	<u>2019</u>	<u>9</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>9</u>
	<u>2020</u>	<u>9</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>9</u>
	<u>2021</u>	<u>9</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>9</u>
<u>New York</u>	<u>2019</u>	<u>289</u>	<u>2</u>	<u>17</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>274</u>
	<u>2020</u>	<u>279</u>	<u>3</u>	<u>16</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>266</u>
	<u>2021</u>	<u>265</u>	<u>2</u>	<u>8</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>159</u>
<u>North Carolina</u>	<u>2019</u>	<u>97</u>	<u>0</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>94</u>
	<u>2020</u>	<u>91</u>	<u>0</u>	<u>5</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>86</u>

	<u>2021</u>	<u>91</u>	<u>0</u>	<u>4</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>86</u>
<u>North Dakota</u>	<u>2019</u>	<u>15</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>12</u>
	<u>2020</u>	<u>16</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>16</u>
	<u>2021</u>	<u>15</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>14</u>
<u>Ohio</u>	<u>2019</u>	<u>206</u>	<u>3</u>	<u>7</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>202</u>
	<u>2020</u>	<u>205</u>	<u>3</u>	<u>5</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>201</u>
	<u>2021</u>	<u>203</u>	<u>2</u>	<u>7</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>198</u>
<u>Oklahoma</u>	<u>2019</u>	<u>26</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>24</u>
	<u>2020</u>	<u>26</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>26</u>
	<u>2021</u>	<u>28</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>28</u>
<u>Oregon</u>	<u>2019</u>	<u>60</u>	<u>3</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>66</u>
	<u>2020</u>	<u>59</u>	<u>3</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>61</u>
	<u>2021</u>	<u>58</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>56</u>
<u>Pennsylvania</u>	<u>2019</u>	<u>229</u>	<u>2</u>	<u>8</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>223</u>
	<u>2020</u>	<u>225</u>	<u>2</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>224</u>
	<u>2021</u>	<u>222</u>	<u>1</u>	<u>10</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>213</u>
<u>Rhode Island</u>	<u>2019</u>	<u>33</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>32</u>
	<u>2020</u>	<u>32</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>31</u>
	<u>2021</u>	<u>31</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>30</u>
<u>South Carolina</u>	<u>2019</u>	<u>46</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>45</u>
	<u>2020</u>	<u>48</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>46</u>
	<u>2021</u>	<u>49</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>48</u>
<u>South Dakota</u>	<u>2019</u>	<u>26</u>	<u>0</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>23</u>
	<u>2020</u>	<u>25</u>	<u>0</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>25</u>
	<u>2021</u>	<u>23</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>21</u>
<u>Tennessee</u>	<u>2019</u>	<u>72</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>71</u>
	<u>2020</u>	<u>73</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>71</u>
	<u>2021</u>	<u>74</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>74</u>
<u>Texas</u>	<u>2019</u>	<u>241</u>	<u>2</u>	<u>13</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>229</u>
	<u>2020</u>	<u>247</u>	<u>4</u>	<u>6</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>245</u>
	<u>2021</u>	<u>246</u>	<u>2</u>	<u>7</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>241</u>

State	Year	Outlets at Start of Year	Outlets Opened	Terminations	Non-Renewals	Reacquired by Us	Ceased Operations – Other Reasons	Outlets at End of Year
Utah	~~2019~~ ~~2018~~	<u>24</u> <u>22</u>	1	<u>0</u> <u>2</u>	<u>0</u> <u>1</u>	0	0	<u>25</u> <u>20</u>
	~~2020~~ ~~2019~~	<u>22</u> <u>23</u>	1	<u>2</u> <u>0</u>	<u>4</u> <u>0</u>	0	0	<u>20</u> <u>24</u>
	~~2020~~ ~~2021~~	23	<u>4</u> <u>0</u>	<u>0</u> <u>1</u>	0	0	0	<u>24</u> <u>22</u>
Vermont	~~2019~~ ~~2018~~	8	0	<u>4</u> <u>0</u>	0	0	0	<u>7</u> <u>8</u>
	~~2020~~ ~~2019~~	8	0	0	0	0	0	8
	~~2020~~ ~~2021~~	<u>8</u> <u>9</u>	0	0	0	0	0	<u>8</u> <u>9</u>
Virginia	~~2019~~ ~~2018~~	<u>123</u> <u>12</u> <u>1</u>	<u>0</u> <u>3</u>	<u>5</u> <u>0</u>	0	0	0	<u>118</u> <u>1</u> <u>20</u>
	~~2020~~ ~~2019~~	121	3	<u>4</u> <u>2</u>	<u>0</u> <u>1</u>	<u>0</u> <u>2</u>	0	<u>120</u> <u>1</u> <u>19</u>

	~~2020~~ <u>2021</u>	~~124~~ <u>120</u>	~~30~~	2	~~40~~	~~20~~	0	119
Washington	~~2019~~ <u>2018</u>	~~103~~ <u>98</u>	1	~~46~~	0	0	0	~~100~~ <u>93</u>
	~~2020~~ <u>2019</u>	~~98~~ <u>95</u>	1	~~62~~	0	0	0	~~93~~ <u>94</u>
	~~2020~~ <u>2021</u>	~~95~~ <u>90</u>	1	~~23~~	0	0	0	~~94~~ <u>88</u>
West Virginia	~~2019~~ <u>2018</u>	~~19~~ <u>18</u>	0	~~40~~	0	0	0	18
	~~2020~~ <u>2019</u>	~~18~~ <u>16</u>	0	~~02~~	0	0	0	~~18~~ <u>14</u>
	~~2020~~ <u>2021</u>	~~16~~ <u>15</u>	0	~~20~~	0	0	0	~~14~~ <u>15</u>
Wisconsin	2018	124	1	3	0	0	0	122
	~~2020~~ <u>2019</u>	~~124~~ <u>114</u>	1	~~37~~	0	0	0	~~122~~ <u>108</u>
	~~2020~~ <u>2021</u>	~~114~~ <u>113</u>	~~13~~	~~74~~	0	0	0	~~108~~ <u>112</u>
Wyoming	~~2019~~ <u>2018</u>	~~54~~	0	~~01~~	0	0	0	~~53~~
	~~2020~~ <u>2019</u>	4	0	~~40~~	0	0	0	~~34~~
	~~2020~~ <u>2021</u>	4	0	0	0	0	0	4
Totals	~~2018~~ <u>2019</u>	~~435~~ <u>346</u>	~~87~~ <u>56</u>	~~153~~ <u>159</u>	4	~~200~~	0	~~424~~ <u>441</u>
	~~2020~~ <u>2019</u>	~~428~~ <u>143</u>	~~56~~ <u>58</u>	~~159~~ <u>139</u>	4	~~036~~	0	~~430~~ <u>424</u>
	~~2020~~ <u>2021</u>	~~428~~ <u>142</u>	~~58~~ <u>33</u>	~~139~~ <u>110</u>	~~40~~	~~360~~	0	~~430~~ <u>422</u>

NOTES TO TABLE 3:

1. Many of the terminations were due to Independent Advisors becoming Associate Financial Advisors of other Independent Advisors.
2. If multiple events occurred that affected an outlet, this Table shows the event that occurred last in time.
3. This Table includes outlets in AFIG.

TABLE 4: STATUS OF COMPANY-OWNED OUTLETS
FOR YEARS ~~2018~~, 2019, 2020, AND
2020~~2021~~

State	Year	Outlets at Start of Year	Outlets Opened	Outlets Reacquired from Franchisees	Outlets Closed	Outlets Sold to Franchisees	Outlets at End of Year
Alabama	~~2018~~ <u>2019</u>	~~14~~ <u>13</u>	~~6~~ <u>3</u>	0	1	0	~~19~~ <u>15</u>
	~~2020~~ <u>2019</u>	13	~~3~~ <u>5</u>	0	~~4~~ <u>0</u>	0	~~15~~ <u>18</u>
	~~2020~~ <u>2021</u>	~~13~~ <u>15</u>	~~5~~ <u>1</u>	0	0	0	~~18~~ <u>16</u>
Alaska	~~2018~~ <u>2019</u>	0	0	0	0	0	0
	~~2020~~ <u>2019</u>	0	0	0	0	0	0
	~~2020~~ <u>2021</u>	0	0	0	0	0	0
Arizona	~~2018~~ <u>2019</u>	~~56~~ <u>60</u>	4	0	~~34~~ <u>4</u>	0	~~57~~ <u>60</u>
	~~2020~~ <u>2019</u>	~~60~~ <u>56</u>	4	~~0~~ <u>5</u>	~~42~~ <u>4</u>	0	~~60~~ <u>63</u>
	~~2020~~ <u>2021</u>	~~56~~ <u>55</u>	4	~~5~~ <u>0</u>	~~24~~ <u>2</u>	~~0~~ <u>2</u>	~~63~~ <u>53</u>
Arkansas	~~2018~~ <u>2019</u>	0	~~7~~ <u>0</u>	0	~~4~~ <u>0</u>	0	~~6~~ <u>0</u>
	~~2020~~ <u>2019</u>	0	0	0	~~0~~ <u>1</u>	0	~~0~~ <u>1</u>
	~~2020~~ <u>2021</u>	0	0	0	~~4~~ <u>0</u>	0	~~4~~ <u>0</u>
California	~~2018~~ <u>2019</u>	~~177~~ <u>160</u>	12	0	~~15~~ <u>20</u>	1	~~173~~ <u>151</u>
	~~2020~~ <u>2019</u>	~~160~~ <u>157</u>	~~12~~ <u>10</u>	~~0~~ <u>3</u>	~~20~~ <u>5</u>	1	~~154~~ <u>164</u>
	~~2020~~ <u>2021</u>	~~157~~ <u>151</u>	~~10~~ <u>12</u>	~~3~~ <u>0</u>	~~58~~ <u>8</u>	~~1~~ <u>2</u>	~~164~~ <u>153</u>
Colorado	~~2018~~ <u>2019</u>	~~38~~ <u>34</u>	1	0	4	0	~~35~~ <u>31</u>
	~~2020~~ <u>2019</u>	34	1	0	~~4~~ <u>0</u>	0	31
	~~2020~~ <u>2021</u>	~~34~~ <u>25</u>	1	0	~~0~~ <u>8</u>	0	~~34~~ <u>18</u>
Connecticut	~~2018~~ <u>2019</u>	~~52~~ <u>54</u>	~~15~~ <u>14</u>	0	~~32~~ <u>2</u>	0	~~64~~ <u>66</u>
	~~2020~~ <u>2019</u>	~~54~~ <u>52</u>	14	~~0~~ <u>1</u>	~~20~~ <u>2</u>	0	~~66~~ <u>67</u>
	~~2020~~ <u>2021</u>	~~52~~ <u>55</u>	~~14~~ <u>6</u>	~~4~~ <u>0</u>	0	~~0~~ <u>1</u>	~~67~~ <u>60</u>
Delaware	~~2018~~ <u>2019</u>	11	0	0	0	0	11
	~~2020~~ <u>2019</u>	11	0	0	~~0~~ <u>1</u>	0	~~11~~ <u>10</u>
	~~2020~~ <u>2021</u>	~~11~~ <u>12</u>	0	0	~~4~~ <u>0</u>	0	~~10~~ <u>12</u>
District of	~~2018~~ <u>2019</u>	0	0	0	0	0	0

Columbia	~~2020~~ ~~019~~	0	0	0	0	0	0
	~~2020~~ ~~021~~	0	0	0	0	0	0
Florida	~~2018~~ ~~019~~	~~207~~ ~~205~~	~~24~~ ~~19~~	~~4~~ ~~0~~	~~24~~ ~~16~~	~~4~~ ~~9~~	~~207~~ ~~199~~
	~~2019~~ ~~020~~	~~205~~ ~~213~~	~~49~~ ~~24~~	~~0~~ ~~3~~	~~46~~ ~~13~~	9	~~199~~ ~~18~~
	~~2020~~ ~~021~~	~~213~~ ~~204~~	~~24~~ ~~18~~	~~3~~ ~~0~~	~~43~~ ~~19~~	~~9~~ ~~4~~	~~218~~ ~~99~~
Georgia	~~2018~~ ~~019~~	~~44~~ ~~40~~	~~6~~ ~~4~~	0	~~3~~ ~~1~~	~~0~~ ~~1~~	~~44~~ ~~42~~
	~~2019~~ ~~020~~	~~40~~ ~~44~~	4	0	1	1	~~42~~ ~~46~~
	~~2020~~ ~~021~~	~~44~~ ~~45~~	~~4~~ ~~6~~	0	1	~~4~~ ~~0~~	~~46~~ ~~50~~
Hawaii	~~2018~~ ~~019~~	~~40~~ ~~12~~	~~4~~ ~~2~~	0	0	0	~~44~~ ~~14~~
	~~2019~~ ~~020~~	~~42~~ ~~11~~	~~2~~ ~~1~~	0	0	0	~~44~~ ~~12~~
	~~2020~~ ~~021~~	11	~~4~~ ~~0~~	0	0	0	~~42~~ ~~11~~
Idaho	~~2018~~ ~~019~~	0	0	0	0	0	0
	~~2019~~ ~~020~~	0	~~0~~ ~~3~~	0	0	0	~~0~~ ~~3~~
	~~2020~~ ~~021~~	0	~~3~~ ~~0~~	0	0	0	~~3~~ ~~0~~
Illinois	~~2018~~ ~~019~~	~~75~~ ~~76~~	~~7~~ ~~4~~	0	3	~~2~~ ~~0~~	77
	~~2019~~ ~~020~~	~~76~~ ~~67~~	4	0	~~3~~ ~~7~~	0	~~77~~ ~~72~~
	~~2020~~ ~~021~~	~~67~~ ~~64~~	4	0	7	0	~~72~~ ~~61~~

State	Year	Outlets at Start of Year	Outlets Opened	Outlets Reacquired from Franchisees	Outlets Closed	Outlets Sold to Franchisees	Outlets at End of Year
Indiana	~~2019~~ ~~018~~	~~44~~ ~~10~~	~~4~~ ~~0~~	0	1	~~4~~ ~~0~~	~~43~~ ~~9~~
	~~2020~~ ~~019~~	~~40~~ ~~11~~	0	0	~~4~~ ~~0~~	0	~~9~~ ~~11~~
	~~2020~~ ~~021~~	~~44~~ ~~14~~	~~0~~ ~~3~~	0	0	0	~~44~~ ~~17~~
Iowa	~~2019~~ ~~018~~	2	0	0	0	0	2
	~~2019~~ ~~020~~	2	0	0	0	0	2
	~~2020~~ ~~021~~	2	0	0	0	0	2
Kansas	~~2019~~ ~~018~~	30	~~40~~ ~~6~~	0	~~3~~ ~~2~~	0	~~37~~ ~~33~~
	~~2019~~ ~~020~~	~~29~~ ~~27~~	~~6~~ ~~5~~	0	2	0	~~33~~ ~~30~~
	~~2020~~ ~~021~~	~~27~~ ~~25~~	~~5~~ ~~0~~	0	2	~~0~~ ~~2~~	~~30~~ ~~21~~

Kentucky	~~2019~~ ~~018~~	~~44~~ <u>10</u>	~~46~~ <u>4</u>	0	0	0	~~27~~ <u>14</u>
	~~2019~~ ~~020~~	10	~~45~~	0	~~0~~ <u>1</u>	0	14
	~~2020~~ ~~021~~	~~40~~ <u>8</u>	~~50~~	0	~~4~~ <u>2</u>	0	~~44~~ <u>6</u>
Louisiana	~~2019~~ ~~018~~	~~24~~ <u>30</u>	~~41~~	0	~~0~~ <u>2</u>	0	~~25~~ <u>29</u>
	~~2019~~ ~~020~~	~~30~~ <u>32</u>	1	0	~~2~~ <u>1</u>	0	~~29~~ <u>32</u>
	~~2020~~ ~~021~~	~~32~~ <u>33</u>	1	0	~~4~~ <u>0</u>	0	~~32~~ <u>34</u>
Maine	~~2019~~ ~~018~~	~~24~~ <u>22</u>	0	0	~~4~~ <u>0</u>	0	~~23~~ <u>22</u>
	~~2019~~ ~~020~~	~~22~~ <u>20</u>	0	0	~~0~~ <u>1</u>	0	~~22~~ <u>19</u>
	~~2020~~ ~~021~~	~~20~~ <u>18</u>	~~0~~ <u>1</u>	0	~~4~~ <u>0</u>	0	19
Maryland	~~2019~~ ~~018~~	~~30~~ <u>34</u>	1	0	2	~~40~~	~~25~~ <u>33</u>
	~~2019~~ ~~020~~	~~34~~ <u>31</u>	1	~~0~~ <u>3</u>	~~20~~	0	~~33~~ <u>35</u>
	~~2020~~ ~~021~~	~~34~~ <u>21</u>	1	~~30~~	~~04~~	~~02~~	~~35~~ <u>16</u>
Massachusetts	~~2019~~ ~~018~~	72	~~87~~	0	~~74~~	~~02~~	73
	~~2019~~ ~~020~~	~~72~~ <u>64</u>	7	0	~~49~~	2	~~73~~ <u>60</u>
	~~2020~~ ~~021~~	~~64~~ <u>67</u>	~~71~~ <u>3</u>	0	~~91~~ <u>0</u>	~~20~~	~~60~~ <u>70</u>
Michigan	~~2019~~ ~~018~~	~~400~~ <u>99</u>	7	0	~~144~~	~~43~~	~~92~~ <u>99</u>
	~~2019~~ ~~020~~	~~99~~ <u>94</u>	7	0	~~46~~	3	~~99~~ <u>94</u>
	~~2020~~ ~~021~~	~~94~~ <u>90</u>	~~74~~	0	~~63~~	~~32~~	~~94~~ <u>89</u>
Minnesota	~~2019~~ ~~018~~	~~32~~ <u>34</u>	3	0	~~02~~	0	35
	~~2019~~ ~~020~~	~~34~~ <u>37</u>	3	0	~~21~~	0	~~35~~ <u>39</u>
	~~2020~~ ~~021~~	~~37~~ <u>38</u>	3	0	~~43~~	0	~~39~~ <u>38</u>
Mississippi	~~2019~~ ~~018~~	0	~~40~~	0	0	0	~~40~~
	~~2019~~ ~~020~~	0	~~0~~ <u>1</u>	0	0	0	~~0~~ <u>1</u>
	~~2020~~ ~~021~~	0	~~40~~	0	0	0	~~40~~
Missouri	~~2019~~ ~~018~~	38	~~92~~	0	~~05~~	0	~~47~~ <u>35</u>
	~~2019~~ ~~020~~	~~38~~ <u>32</u>	~~24~~	~~05~~	~~54~~	0	~~35~~ <u>37</u>
	~~2020~~ ~~021~~	~~32~~ <u>30</u>	~~42~~	~~50~~	~~41~~	~~01~~	~~37~~ <u>30</u>
Montana	~~2019~~ ~~018~~	0	0	0	0	0	0
	~~2019~~ ~~020~~	0	0	0	0	0	0

	~~2020~~ <u>2021</u>	0	0	0	0	0	0
Nebraska	~~2019~~ <u>2018</u>	~~6~~ <u>11</u>	0	0	0	0	~~6~~ <u>11</u>
	~~2019~~ <u>2020</u>	11	0	0	0	0	11
	~~2020~~ <u>2021</u>	11	0	0	0	0	11
Nevada	~~2019~~ <u>2018</u>	~~17~~ <u>21</u>	~~2~~ <u>1</u>	0	~~0~~ <u>1</u>	0	~~19~~ <u>21</u>
	~~2019~~ <u>2020</u>	21	1	0	~~1~~ <u>2</u>	0	~~24~~ <u>20</u>
	~~2020~~ <u>2021</u>	~~24~~ <u>28</u>	~~15~~ <u>5</u>	0	~~20~~ <u>0</u>	0	~~20~~ <u>33</u>

State	Year	Outlets at Start of Year	Outlets Opened	Outlets Reacquired from Franchisees	Outlets Closed	Outlets Sold to Franchisees	Outlets at End of Year
New Hampshire	~~2019~~ <u>2018</u>	24	~~5~~ <u>4</u>	0	~~0~~ <u>1</u>	~~1~~ <u>0</u>	~~28~~ <u>27</u>
	~~2019~~	~~24~~	~~4~~	~~0~~	~~1~~	~~0~~	~~27~~
	2020	20	3	1	3	0	21
	~~2018~~ <u>2021</u>	~~92~~ <u>18</u>	~~80~~ <u>0</u>	0	1	1	~~98~~ <u>16</u>
New Jersey	2019	96	6	0	3	2	97
		~~90~~	~~6~~				
	2020	90	6	1	14	2	81
	~~2021~~	~~92~~	~~6~~	~~0~~	~~3~~	~~1~~	~~94~~
New Mexico	~~2019~~ <u>2018</u>	0	0	0	0	0	0
	~~2019~~ <u>2020</u>	0	0	0	0	0	0
	~~2020~~ <u>2021</u>	0	0	0	0	0	0
~~New York~~	~~2018~~	~~84~~	~~11~~	~~1~~	~~3~~	~~0~~	~~90~~
New York	2019	73	7	0	10	0	70
	2020	77	7	0	3	0	81
	~~2021~~	~~76~~	~~10~~	~~0~~	~~10~~	~~1~~	~~75~~
North Carolina	~~2019~~ <u>2018</u>	~~44~~ <u>41</u>	0	0	~~3~~ <u>1</u>	0	~~41~~ <u>40</u>
	~~2019~~	~~41~~	~~0~~	~~0~~	~~1~~	~~0~~	~~40~~
	2020	47	0	0	0	2	45
	~~2021~~	~~40~~	~~0~~	~~0~~	~~3~~	~~6~~	~~31~~
North Dakota	~~2019~~ <u>2018</u>	0	0	0	0	0	0
	~~2019~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~
	2020	0	0	0	0	0	0
	~~2018~~ <u>2021</u>	~~73~~ <u>0</u>	~~50~~ <u>0</u>	0	~~90~~ <u>0</u>	~~20~~ <u>0</u>	~~67~~ <u>0</u>
	2019	69	4	0	7	0	66

Ohio							
	2020	70	1	2	2	0	77
	~~2021~~	~~68~~	~~4~~	~~0~~	~~3~~	~~3~~	~~66~~
Oklahoma	~~2019~~	~~0~~	~~40~~	~~0~~	~~0~~	~~0~~	~~40~~
	~~2019~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~
	2020	0	0	0	1	0	0
	~~2018~~	~~440~~	~~20~~	~~0~~	~~0~~	~~40~~	~~50~~
Oregon	2019	15	2	0	0	0	17
	2020	12	2	0	3	0	11
	~~2021~~	~~12~~	~~0~~	~~0~~	~~0~~	~~0~~	~~12~~
Pennsylvania	~~2019~~	~~3740~~	~~80~~	~~0~~	~~2~~	~~42~~	~~4236~~
	~~2019~~	~~40~~	~~0~~	~~0~~	~~2~~	~~2~~	~~36~~
	2020	39	6	0	1	2	42
	~~2018~~	~~834~~	~~01~~	~~0~~	~~03~~	~~44~~	~~728~~
Rhode Island	2019	10	0	0	0	0	10
	2020	11	2	0	0	0	13
	~~2021~~	~~10~~	~~0~~	~~0~~	~~2~~	~~0~~	~~8~~
South Carolina	~~2019~~	~~4312~~	~~5~~	~~0~~	~~0~~	~~0~~	~~4817~~
	~~2019~~	~~42~~	~~5~~	~~0~~	~~0~~	~~0~~	~~47~~
	2020	11	7	0	1	0	17
	~~2021~~	~~11~~	~~1~~	~~0~~	~~0~~	~~0~~	~~12~~
South Dakota	~~2019~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~
	~~2019~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~
	2020	0	0	0	0	0	0
	~~2021~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~	~~0~~
Tennessee	~~2019~~	~~2~~	~~50~~	~~0~~	~~0~~	~~0~~	~~72~~
	~~2019~~	~~2~~	~~0~~	~~0~~	~~0~~	~~0~~	~~2~~
	2020	1	1	0	2	0	0
	~~2018~~	~~4601~~	~~260~~	~~0~~	~~230~~	~~1~~	~~4620~~
Texas	2019	145	5	0	19	~~1~~	127
	2020	149	5	0	14	4	136
	~~2021~~	~~148~~	~~18~~	~~0~~	~~9~~	~~4~~	~~153~~

State	Year	Outlets at Start of Year	Outlets Opened	Outlets Reacquired from Franchisees	Outlets Closed	Outlets Sold to Franchisees	Outlets at End of Year
Utah	~~2019~~	17	1	0	0	0	18
	~~2019~~	~~1718~~	1	0	0	0	~~1819~~

	~~2020~~ <u>021</u>	~~18~~ <u>19</u>	1	0	0	0	~~19~~ <u>20</u>
Vermont	~~2019~~ <u>018</u>	0	0	0	0	0	0
	~~2019~~ <u>020</u>	0	0	0	0	0	0
	~~2020~~ <u>021</u>	0	0	0	0	0	0
Virginia	~~2019~~ <u>018</u>	~~34~~ <u>33</u>	2	0	~~42~~	~~02~~	~~35~~ <u>31</u>
	~~2019~~ <u>020</u>	~~33~~ <u>32</u>	2	~~02~~	2	2	~~34~~ <u>32</u>
	~~2020~~ <u>021</u>	~~32~~ <u>37</u>	2	~~20~~	~~20~~	~~20~~	~~32~~ <u>39</u>
Washington	~~2019~~ <u>018</u>	~~66~~ <u>68</u>	1	0	~~510~~	0	~~62~~ <u>59</u>
	~~2019~~ <u>020</u>	~~68~~ <u>71</u>	1	0	~~403~~	0	~~59~~ <u>69</u>
	~~2020~~ <u>021</u>	~~71~~ <u>74</u>	~~18~~	0	3	0	~~69~~ <u>79</u>
West Virginia	~~2019~~ <u>018</u>	0	0	0	0	0	0
	~~2019~~ <u>020</u>	~~02~~	0	0	0	0	~~02~~
	~~2020~~ <u>021</u>	2	0	0	0	0	2
Wisconsin	~~2019~~ <u>018</u>	22	~~42~~	0	0	0	~~26~~ <u>24</u>
	~~2019~~ <u>020</u>	~~22~~ <u>26</u>	2	0	~~02~~	0	~~24~~ <u>26</u>
	~~2020~~ <u>021</u>	~~26~~ <u>24</u>	~~21~~	0	2	0	~~26~~ <u>23</u>
Wyoming	~~2019~~ <u>018</u>	0	0	0	0	0	0
	~~2019~~ <u>020</u>	0	0	0	0	0	0
	~~2020~~ <u>021</u>	0	0	0	0	0	0
Totals	~~2019~~ <u>018</u>	~~1744~~ <u>1762</u>	~~232~~ <u>305</u>	~~20~~	~~132~~ <u>129</u>	~~1828~~	~~1846~~ <u>1894</u>
	~~2019~~ <u>020</u>	~~1879~~ <u>1744</u>	~~305~~ <u>155</u>	~~036~~	~~129~~ <u>108</u>	28	~~1894~~ <u>1934</u>
	~~2020~~ <u>021</u>	~~1879~~ <u>1687</u>	~~155~~ <u>137</u>	~~360~~	~~108~~ <u>111</u>	~~2837~~	~~1934~~ <u>1795</u>

NOTES TO TABLE 4:

1. This Table reflects the number of Employees who sell products and services that are similar to, or the same as, the Products & Services that you will offer.
2. This Table includes outlets in AFIG.

TABLE 5: PROJECTED OPENINGS AS OF DECEMBER 31, ~~2020~~2021

State	Franchise Agreement Signed But Office Not Yet Open ¹	Projected New Franchised Independent Financial Advisor Businesses in ~~2021~~ 2022	Projected New Offices to be Opened by Us in ~~2021~~ 2022
Alabama	0	0	0
Alaska	0	0	0
Arizona	0	0	1
Arkansas	0	0	0
California	0	2	1
Colorado	0	0	0
Connecticut	0	0	1
Delaware	0	1	0
District of Columbia	0	0	0
Florida	0	1	0
Georgia	0	0	1
Hawaii	0	0	0
Idaho	0	0	0
Illinois	0	3	0
Indiana	0	1	0
Iowa	0	1	0
Kansas	0	0	0
Kentucky	0	1	0
Louisiana	0	0	0
Maine	0	0	0
Maryland	0	0	0
Massachusetts	0	0	1
Michigan	0	2	1
Minnesota	0	0	0
Mississippi	0	1	0
Missouri	0	0	0
Montana	0	0	0
Nebraska	0	0	0
Nevada	0	1	2
New Hampshire	0	0	0
New Jersey	0	2	3
New Mexico	0	0	0
New York	0	1	3
North Carolina	0	0	0
North Dakota	0	0	0
Ohio	0	1	1
Oklahoma	0	0	0
Oregon	0	0	0
Pennsylvania	0	1	0
Rhode Island	0	0	0
South Carolina	0	0	1
South Dakota	0	0	0
Tennessee	0	0	0
Texas	0	0	6
Utah	0	0	0
Vermont	0	0	0
Virginia	0	1	0
Washington	0	1	1
West Virginia	0	0	1
Wisconsin	0	1	0
Wyoming	0	0	0
TOTALS	0	20	23

NOTES TO TABLE 5:

¹ As of December 31, ~~2020~~2021.

The names, business address(es), and telephone numbers of every Independent Advisor are attached as Exhibit J. Since Consultants receive a fee for services they provide to Independent Advisors, some Consultants may solicit individuals to join ~~our~~the System.

The names, city and state, and ~~the~~ current business telephone number (or, if unknown, the last known home telephone number) of every Independent Advisor who has had an outlet terminated, canceled, not renewed, or otherwise voluntarily or involuntarily ceased to do business under the Franchise Agreement during the ~~2020~~2021 fiscal year, as well as those Independent Advisors we have not had communication with during the first 10 weeks of ~~2021~~2022, are attached as Exhibit K.

If you buy this franchise, your contact information may be disclosed to other buyers when you leave the System.

During the last three years, Independent Advisors have signed confidentiality agreements. In some instances, current and former Independent Advisors sign provisions restricting their ability to speak openly about their experience with Ameriprise Financial. You may wish to speak with current and former Independent Advisors, but be aware that not all ~~such~~ Independent Advisors will be able to communicate with you.

Ameriprise Financial created and sponsors the Ameriprise National Franchisee Advisory Council, a non-incorporated, trademark specific council comprised of Independent Advisor representatives: Ameriprise National Franchisee Advisory Council, 707 2nd Avenue South, Minneapolis, Minnesota 55474, fac@ampf.com.

Ameriprise Financial also created and sponsors the Ameriprise Wealth Management Solutions Advisory Council, a non-incorporated, trademark specific council comprised of Independent Advisor representatives: Ameriprise Wealth Management Solutions Advisory Council, 707 2nd Avenue South, Minneapolis, Minnesota 55474, matt.benson@ampf.com.

ITEM 21 FINANCIAL STATEMENTS

The financial statements listed below are attached to this Disclosure Document as Exhibit N.

Audited Financial Statements of Ameriprise Financial Services, LLC (f/k/a Ameriprise Financial Services, Inc.) for the fiscal years ended December 31, 2021, 2020, and the audited Financial Statements of Ameriprise Financial Services, Inc. for the fiscal year ended December 31, 2019, and 2018.

ITEM 22 CONTRACTS

The following contracts are attached to this Disclosure Document in the following order:

1. Independent Advisor Business Franchise Agreement (including, Addendum 1 (Supervision Agreement), Addendum 2 (Registered Principal Agreement), Addendum 3-T (Employee to Franchise Transitions), Addendum 3-V (Veteran Advisor Recruits), Addendum 4 (Associate Financial Advisor), Addendum 5 (Franchise Consultant Services), and Addendum 6 (Fee Waiver)).
2. State Addenda (Exhibit B).
3. Confidentiality Agreement (Exhibit D).
4. Franchise Consulting Services Agreement (Exhibit G).
5. Promissory Note (Exhibit H).
6. *AdvisorCompass*® Software License User's Agreement (Exhibit I).
7. Loan and Security Agreement (Exhibit M).
8. Death and Disability Plan (including General Release) (Exhibit O).

ITEM 23 RECEIPT

Included as the last document of this Disclosure Document is a receipt to be signed by you.

EXHIBIT A

AMERIPRISE FINANCIAL SERVICES, LLC INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT

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AGREEMENT

AMERIPRISE FINANCIAL SERVICES, LLC INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT

THIS IS AN AGREEMENT, made and entered into on _____, 20__, by and between Ameriprise Financial Services, LLC (“**Ameriprise Financial**” or “**we**”) at its principal place of business at 200 Ameriprise Financial Center, Minneapolis, Minnesota 55474, and _____

(“**Independent Advisor**,” “**you**” or “**your**”).

RECITALS

- A. Through its time, skill, effort, and money, Ameriprise Financial has developed a distinctive system that offers, through financial advisors, a variety of financial services to individuals and/or business owners using the Proprietary Marks, confidential information, business techniques, methods and procedures, and sales promotion programs, as Ameriprise Financial periodically modifies (the “**System**”). The financial services include: financial planning; investment advice and consulting services; brokerage services; securities products, including individual securities; and other related Products & Services provided or procured through Ameriprise Financial and/or its affiliates or third parties (collectively, “**Products & Services**”);
- B. The distinguishing characteristics of the System include: the Ameriprise Financial brand; distinctive Products & Services; securities and regulatory compliance; customer service and quality advice, including financial planning; administrative procedures, including consolidated statements; orientation programs; advertising and promotional programs; and direct marketing services, including telemarketing and online services directed to clients; all of which may be changed, improved, and further developed by Ameriprise Financial from time-to-time;
- ~~A. Prior to October 1, 2005, Ameriprise was affiliated with American Express Company (“AEC”). On September 30, 2005, our direct parent, Ameriprise Financial, Inc., was spun-off by AEC to the shareholders of AEC, and it became an independent company having separate public ownership and separate management. As an independent company, Ameriprise Financial, Inc. and its wholly-owned subsidiary, Ameriprise Financial Services, LLC (formerly Ameriprise Financial Services, Inc.), are not affiliated with AEC or any affiliate of AEC. Prior to August 1, 2005, Ameriprise Financial operated under the “American Express Financial Advisors Inc.” name and proprietary marks; and Independent Advisor understands and acknowledges that Independent Advisors are no longer permitted to use the American Express name or logo, or any variation of the American Express name or logo;~~
- C. The System is Independent Financial Advisor Businesses are identified by trade names, service marks, trademarks, trade dress, domain names, logos, emblems, and indicia of origin for use in connection with the System, including but not limited to, the “**Ameriprise**” trademark, “**Ameriprise Financial**” logo, and other Ameriprise Financial family of marks (collectively, the “**Proprietary Marks**”); and operate pursuant to the System; and
- D. Independent Advisor desires to contract with Ameriprise Financial to operate a business offering Products & Services under the System, and/or supervisory and consulting services (if applicable, and pursuant to relevant addenda), and using the Proprietary Marks (the “**Independent Financial Advisor Business**”), and to receive the services provided by Ameriprise Financial in consideration for the covenants contained herein; and”).
- ~~B. Independent Advisor understands and acknowledges the importance of all the Independent Advisors operating the Independent Financial Advisor Businesses in a manner which meets Ameriprise Financial’s high standards of quality advice and customer service, to protect the value and integrity of the System and all the Independent Financial Advisor Businesses.~~

~~THEREFORE, Independent Advisor and Ameriprise Financial agree as follows:~~

THEREFORE, Ameriprise Financial and Independent Advisor hereby agree as follows:

1. GRANT

A. Independent Financial Advisor Business.

~~(1) Ameriprise Financial and Independent Advisor agree upon the terms and conditions in this Agreement, for Independent Advisors to establish and operate the Independent Financial Advisor Business.~~

(1) Ameriprise Financial agrees to grant Ameriprise Financial grants to Independent Advisor a limited

license to use the Proprietary Marks solely in connection with Independent Advisor's operation of the Independent Financial Advisor Business in accordance with the terms and conditions of this Agreement and only during the term of this Agreement.

- (2) Independent Advisor agrees to operate the Independent Financial Advisor Business only at the location(s) specified in Schedule A (the "**Location**"). Independent Advisor agrees to not relocate the Independent Financial Advisor Business or establish ~~a secondary~~any location ~~outside of your region~~ without prior written approval by Ameriprise Financial, which approval will not be unreasonably withheld.
- (3) Ameriprise Financial will only compensate an appropriately licensed individual. Accordingly, Independent Advisor agrees to operate the Independent Financial Advisor Business, as described in this Agreement, as an individual business and shall not conduct such business as a corporation, partnership, limited liability company, sub-chapter S company or any other similar organizational structure. This shall not prevent Independent Advisor from operating other approved related businesses, as described in Section 5, under the heading "Use of Premises,", and as set forth in the Manuals.
- (4) Independent Advisor ~~agrees to have~~has the right during the term of this Agreement to solicit Clients for Products & Services, as ~~more fully~~described in ~~Section 5~~this Agreement and as set forth in the Manuals. For purposes of this Agreement, "**Client**" shall mean ~~an individual~~ an individual person or entity that acquires any Products & Services from Ameriprise Financial through Independent Advisor, ~~Ameriprise Financial, Ameriprise Financial's affiliates, or an advisor operating under the System.~~
- (5) Independent Advisor agrees to comply with ~~all System~~requirements of the System as specified by Ameriprise Financial as the System may be supplemented, improved, and otherwise modified from time-to-time by Ameriprise Financial.

B. Non-Exclusive Agreement.

- (1) Independent Advisor expressly acknowledges and agrees that the Independent Financial Advisor Business is non-exclusive, and that this Agreement does not grant or imply any protected area, territory, or clients for the Independent Financial Advisor Business. By way of example, other Independent Advisors, Ameriprise Financial, and its affiliates may or will continue to market, ~~at Independent Advisor's~~from any location, through various channels, including: employees, agents, dealers, direct marketing, telemarketing, and online services.
- (2) Independent Advisor is not permitted to directly or indirectly sell, offer to sell, or provide any of the Products & Services to any Client of Ameriprise Financial, its employees or another Independent Advisor operating under the System unless Independent Advisor has followed the procedures specified in the Manuals.
- (3) Ameriprise Financial and its affiliates reserve the following rights:
 - a) To offer financial products and services, including the Products & Services, directly or indirectly to any client or business (including the Clients), or license others to offer Products & Services under the Proprietary Marks at any location, through other Independent Advisors, employees, direct marketing, telemarketing, online services, third-party marketers and any other distribution method;
 - b) To own and/or operate, and license others to operate, businesses that offer Products & Services using the System and Proprietary Marks, at any location; and
 - c) To own and/or operate, and license others to operate, businesses that offer other investment opportunities and financial services and products, whether or not using the Proprietary Marks or other systems, and/or whether such businesses are similar to or different from the Independent Financial Advisor Business, at any location.
- (4) Independent Advisor acknowledges and agrees that Ameriprise Financial and certain of Ameriprise Financial's affiliates and designees (including other Independent Advisors of Ameriprise Financial, Ameriprise Financial employees, third-party dealers, persons associated with such persons, and mail order services) now sell, and ~~shall will~~ continue to have the right to sell, the Products & Services, to Clients located in the same or in close proximity to Independent Advisor's Location; and that Ameriprise Financial and such affiliates and designees shall be direct competitors of Independent Advisor.

- (5) Ameriprise Financial expressly reserves any and all rights not explicitly granted to Independent Advisor by the terms and conditions of this Agreement.

2. TERM AND RENEWAL

- A. Three-Year Term. This Agreement shall be effective upon its execution by Ameriprise Financial and, except as otherwise provided herein, the term of this Agreement shall be three (3) years from the date of execution by Ameriprise Financial.
- B. Renewal. At the expiration of the three (3) year term, the Independent Financial Advisor Business will be renewed for an additional term of three (3) years, subject to Independent Advisor's satisfaction of the following conditions:
- (1) ~~If the premises~~The location of the Independent Financial Advisor Business under Independent Advisor's control and supervision (the "PremisesLocation") meets reasonable professional standards and the System requirements set forth in the Manuals including those regarding signage and the use of Proprietary Marks;
 - (2) ~~If Independent Advisor is not in default of any provision of this Agreement, any other agreement between Independent Advisor and Ameriprise Financial or its affiliates and Independent Advisor, or any standards applicable to Independent Advisor, as set forth in the Manuals; and Independent Advisor has substantially complied with all the terms and conditions of such agreements and standards during the term of this Agreement;~~
 - (3) Except as otherwise allowedpermitted by Ameriprise Financial, ~~if Independent Advisor has satisfied~~satisfies all monetary obligations owed by Independent Advisor to Ameriprise Financial and its affiliates, and ~~has~~metmeets those obligations throughout the term of this Agreement; and
 - (4) Independent Advisor has, at Ameriprise Financial's option, executed Ameriprise Financial's then-current form of the Franchise Agreement for such renewal terms as are provided by this Agreement, which shall supersede this Agreement and which may include terms and conditions that differ materially from the terms and conditions of this Agreement.
- C. Terminating the System. In the event of changes in regulatory, market or industry conditions, Ameriprise Financial may ~~make a policy decision~~decide to terminate or dissolve the System upon ninety (90) days' written notice to Independent ~~Advisors~~Advisor. In the event Ameriprise Financial terminates or dissolves the System, Ameriprise Financial shall make available to Independent Advisor a new form of agreement.

3. DUTIES OF AMERIPRISE FINANCIAL

- A. Compensation. Within thirteen (13) business days of the end of each Accounting Period (defined below), Ameriprise Financial agrees to prepare a statement: (1) containing a summary of Independent Advisor's reported and processed financial activity for Products & Services during such Accounting Period (the "Commission Statement"); (2) detailing the Compensation as defined in Section 4 below; and (3) containing certain confidential Client information. With each Commission Statement, Ameriprise Financial agrees to remit Independent Advisor's share of the Compensation. Compensation for Products & Services sold or processed through approved third-party product companies will be reported and processed only after Ameriprise Financial receives proper statements and payments from these companies. Ameriprise Financial will provide Independent Advisor the Commission Statement by providing Independent Advisor with limited access to Ameriprise Financial's computer system for the purpose of downloading the Commission Statement. "Accounting Period" means each of the two-week accounting periods in a calendar year, as determined by Ameriprise Financial.
- B. Offering and Servicing the Products & Services. Ameriprise Financial, except as otherwise provided herein, shall offer and provide ~~thesethe~~ Products & Services distributed or offered by Ameriprise Financial and/or its affiliates consistent with the standards set forth in the Manuals. Ameriprise Financial agrees to perform such bookkeeping, processing, and related functions, as described in the Manuals. Ameriprise Financial agrees to process all applications from Clients for the Products & Services. Ameriprise Financial retains the right to reject any application for the Products & Services that does not meet the qualifications, specifications, or standards set forth in the Manuals. Ameriprise Financial will also reject any application that is mandated by applicable law, including but not limited to, federal anti-money laundering laws. Ameriprise Financial agrees to provide Clients with consolidated statements, as providedset forth in the Manuals. Ameriprise Financial agrees to make

available to Independent Advisor certain forms, brochures, prospectuses, and sales literature required to process the Independent Financial Advisor Business as part of the Association Fee. Ameriprise Financial will make available to Independent Advisor certain other forms, brochures, and sales literature related to Products & Services for ~~at the then-current~~ fee.

- C. Advertising and Promotions. Ameriprise Financial agrees to provide national advertising, as provided/~~set forth~~ in Section 12 below, as part of the Association Fee (defined in Section 4). Ameriprise Financial may, but is not required to, make available for a fee, corporate office generated leads to Independent Advisors who meet criteria described in the Manuals. Ameriprise Financial may develop promotional programs and sales campaigns for Products & Services, the nature, duration, and geographic scope of which shall be determined by Ameriprise Financial.
- D. Compliance. Ameriprise Financial agrees to provide Firm Element of regulatory compliance training and corporate compliance oversight as part of the Association Fee (defined in Section 4). Ameriprise Financial agrees to conduct, as it deems advisable and consistent with its regulatory and supervisory obligations, inspections of Independent Advisor's operation of the Independent Financial Advisor Business for the purpose of establishing Independent Advisor's compliance with this Agreement and with federal, state, local, and Financial Industry Regulatory Authority ("FINRA") (and other self-regulatory organizations) laws, rules, regulations, and requirements, including, but not limited to, Ameriprise Financial's policies and procedures as set forth in the Manuals.
- E. Orientation and Training. As ~~provided described~~ in Section 7 ~~belowhereof~~, Ameriprise Financial agrees to: (1) provide an initial orientation program as part of the Initial Fee to Independent Advisor, and (2) offer continuing education programs ~~for a fee~~, as it deems necessary ~~for a fee~~.
- F. Premises Location. Ameriprise Financial agrees to make available signage specifications to Independent Advisor as part of the Association Fee (as defined in Section 4).
- G. Manuals. Ameriprise Financial agrees to allow Independent Advisor access to ~~Ameriprise Financial's Confidential Operations and Compliance Manuals (the "Manuals")~~, the Manuals, as more fully described in Section 9 hereof. The Manuals shall also include, but are not limited to, Ameriprise Financial's Client Satisfaction Standards, Compliance Manual, and Code of Conduct. In addition, the Manuals set forth standards regarding the use of Proprietary Marks, signage, communications, privacy ~~principles policies~~, processing procedures and the Compensation Reference Guide.
- H. Errors and Omissions Coverage. Ameriprise Financial agrees to provide, or arrange for a third party to provide, errors and omissions coverage, as ~~provided described~~ in Section 13 ~~belowhereof~~. Independent Advisor must pay Ameriprise Financial, or its designee, such Errors and Omissions ~~coverage Fees~~ as Ameriprise Financial directs, as ~~more fully described set forth~~ in the Manuals.
- I. Other Optional Services. Ameriprise Financial may offer optional services to Independent Advisor for a fee, as ~~described set forth~~ in the Manuals.
- J. Independent Advisor acknowledges and agrees that any duty or obligation imposed on Ameriprise Financial by this Agreement may be performed by a Registered Principal, any independent contractor, designee, employee, or agent of Ameriprise Financial, as Ameriprise Financial may direct.

4. FEES AND COMPENSATION

- A. Initial Fee. In consideration of the Independent Financial Advisor Business franchise granted herein, Independent Advisor has paid to Ameriprise Financial an Initial Fee of One Thousand Five Hundred Dollars (\$1,500), receipt of which is hereby acknowledged, and which is nonrefundable. Independent Advisor is paying this fee in consideration of administrative and other expenses incurred by Ameriprise Financial in entering into this Agreement.
- B. Association Fee. During each Accounting Period (but not in the third Accounting Period of any month that has three Accounting Periods), Independent Advisor authorizes Ameriprise Financial to deduct the association fee of Two Hundred Ninety Dollars (\$290) for a limited license to use the Ameriprise Financial Proprietary Marks; assistance in obtaining and maintaining required licenses; corporate compliance oversight; fidelity bond coverage; field support; national advertising and promotional materials; signage specifications; certain forms; and accounting and payroll services related to the broker-dealer as set forth in the Manuals ~~(the "(Association Fee")~~, from the Compensation due to Independent Advisor. During any Accounting Period in which Independent Advisor is not entitled to a portion of the Compensation or Independent Advisor's share of the Compensation is less than the Association Fee, Independent Advisor agrees to promptly pay to Ameriprise Financial the Association

Fee as ~~provided~~set forth in the Manuals.

- C. Compensation. As long as this Agreement is in effect and Independent Advisor is not in default hereunder or under ~~Special Regulatory~~Additional Supervision (~~as~~ defined below), Ameriprise Financial agrees to: (1) retain a percentage of the Compensation for each Accounting Period as set forth in the Manuals (the “**Compensation Reference Guide**”), (2) pay to Independent Advisor’s Franchise Consultant (“**Consultant**”) in accordance with the Franchise Consulting Services Agreement (“**Consulting Agreements**”) the specified amount of the Compensation for each Accounting Period, (3) pay your Registered Principal the amount specified in the compliance supervision agreement, and (4) pay to Independent Advisor after deducting the Association Fee, any other fees, interest, or other monies due to Ameriprise Financial for Services authorized by Independent Advisor and/or other deductions provided for in this Agreement, the balance of the Compensation for each Accounting Period in accordance with Section 3.

As used in this Agreement, “Compensation” which is further defined in the Manuals, is the compensation from a product sale or service performed as specified in the Compensation Reference Guide, based on what Products & Services the Independent Advisor sells.

- D. Method of Payment. Ameriprise Financial will have the right to make the payments to Independent Advisor due under Section 4 by ~~telegraphic transfer~~, auto-draft arrangement, electronic funds transfer, or by other means Ameriprise Financial may specify from time-to-time, to a bank account designated by Independent Advisor, in accordance with procedures in the Manuals; provided, however, that if Independent Advisor requests payment under Section 4 in the form of a check, Ameriprise Financial may charge a reasonable fee to Independent Advisor for providing payment via check.
- E. Uncollected Payments. If there are any uncollected payments: (1) for Products & Services that Independent Advisor failed to remit to Ameriprise Financial; (2) an error occurs and Independent Advisor receives an overpayment; (3) a payment has been made to Independent Advisor for any canceled or returned Products & Services; (4) there is a loss, refund or payment due to a settlement or claim related to Products & Services purchased by a Client that Independent Advisor received compensation for; and/or (5) Independent Advisor owes Ameriprise Financial pursuant to Section 21 below, Ameriprise Financial may deduct such amount from the percentage of Compensation due to Independent Advisor in any Accounting Period following the event. Any negative balance will require repayment upon termination of this Agreement.
- F. Incentive Programs. Ameriprise Financial may offer incentive programs, such as awards and conferences, as described~~set forth~~ in the Manuals.
- G. Disclaimer of Benefits. Independent Advisor acknowledges that the Manuals, including the Compensation Reference Guide contained therein, constitute the complete list of the compensation and benefits owed to Independent Advisor resulting from this Agreement or Independent Advisor’s relationship with Ameriprise Financial. Other than as described in Section 4(C), Independent Advisor acknowledges that Independent Advisor has no claim to any other revenue, compensation or benefit plan, program or policy of or sponsored by Ameriprise Financial unless such plan, policy or benefit plan specifically references Independent Advisors in their role as Independent Advisors as an eligible group under such plan, program or policy and Independent Advisor meets all conditions for eligibility set forth in such program.

5. ONGOING DUTIES OF INDEPENDENT ADVISOR

- A. Consistent with the high standards of the System, to increase the demand for Products & Services, and to protect the goodwill of the Proprietary Marks, Independent Advisor agrees:
- (1) Compliance. To maintain all required licenses, registrations, and regulatory compliance standards consistent with the standards set forth in Section 15 hereof and the Manuals as defined in this Agreement. In addition, Independent Advisor agrees to comply with this Agreement and with all federal, state, local, and FINRA (and other self-regulatory organizations) laws, ~~rules, and~~ regulations, requirements, and rules, including, but not limited to, those concerning the American Disabilities Act and similar rules governing public accommodations for those with disabilities and ~~labor and~~ employment and labor laws.
- (2) Client Satisfaction. To maintain client satisfaction standards of at least seventy percent (70%), as ~~more fully described~~set forth in the Manuals.

- (3) PremisesLocation and Signage. To maintain, at Independent Advisor's expense, at least one (1) appropriately registered office with the fixtures, furnishings, and equipment necessary to maintain professional standards and protect confidential information for ~~the operation of operating~~ the Independent Financial Advisor Business as ~~fully described~~set forth in the Manuals. Independent Advisor agrees to purchase and install signs as ~~provided~~set forth in the Manuals.
- (4) Products & Services. To offer, provide, and market the Products & Services to Clients.
- B. Use of ~~Premises~~the Location. Independent Advisor agrees to use the PremisesLocation to operate the Independent Financial Advisor Business and any other activities for which Independent Advisor has obtained written consent from Ameriprise Financial; and shall refrain from using or permitting the use of the PremisesLocation for any other purpose at any time without first obtaining written consent from Ameriprise Financial.
- C. Payment of Fees. As ~~provided~~set forth in the Manuals, Independent Advisor agrees to promptly pay Ameriprise Financial any and all fees and charges that are due and payable to Ameriprise Financial and its affiliates.
- D. Client Service. As ~~provided~~set forth in the Manuals, Independent Advisor agrees to:
- (1) promptly submit complete and accurate client profiles and applications and/or any other required information for Products & Services and other financial information required by Ameriprise Financial to comply with legal, regulatory, underwriting or Ameriprise Financial's internal processing requirements;
 - (2) promptly forward all payments received from Clients for Products & Services to Ameriprise Financial; and
 - (3) preserve good customer relations; render competent, prompt, courteous, and knowledgeable service; and meet such minimum standards as Ameriprise Financial may establish from time-to-time and as set forth in the Manuals.
- E. Territory. Independent Advisor will operate the Independent Financial Advisor Business at the Location. Independent Advisor will not relocate the registered office or open an additional office of the Independent Financial Advisor Business without prior written approval from Ameriprise Financial. Independent Advisor agrees to be appropriately licensed and registered and to obtain the approval of the person(s) who perform regulatory supervision and oversight for the Independent Advisor to ensure they have the appropriate licenses and have agreed to accept the responsibility before actively seeking prospective clients and servicing clients.
- F. Computing Environment. Independent Advisor agrees to purchase or lease a computer system that meets the specifications of Ameriprise Financial, including such peripheral devices, equipment, and required maintenance as Ameriprise Financial may specify in the Manuals, or otherwise in writing, as reasonably necessary for the efficient management and operation of the Independent Financial Advisor Business and the transmission of data to and from Ameriprise Financial. Ameriprise Financial may specify in the Manuals or otherwise in writing the information that Independent Advisor agrees to collect and maintain on the computer system installed at the Independent Financial Advisor Business to satisfy regulatory and processing requirements, and Independent Advisor agrees to provide to Ameriprise Financial such information as Ameriprise Financial may reasonably request from the data so collected and maintained. Independent Advisor agrees that failure to comply with the computing environment requirements specified in the Manuals [specifications set forth in the] may compromise the security of the computer system, and Ameriprise may elect to disable the computer system. Independent Advisor agrees to permit Ameriprise Financial to access the computer system installed at the Independent Financial Advisor Business for the purpose of obtaining Ameriprise Financial-related information from Independent Advisor's computer system to satisfy regulatory and business processing requirements. Independent Advisor agrees to acquire from Ameriprise Financial or, if any, an approved vendor, a license to use software designated by Ameriprise Financial for the computer system, and to pay a monthly fee for base software and to access information at Ameriprise Financial's corporate office. Independent Advisor understands that some software license fees will be charged in addition to ~~your~~Independent Advisor's Association Fee and base software fee and may not be optional. At the request of Ameriprise Financial, Independent Advisor agrees to obtain upgrades, or other modifications to the computer system and software to conform to the specifications of Ameriprise Financial. Independent Advisor agrees to allow Ameriprise Financial access to their computer system at the

Independent Financial Advisor Business to automatically update necessary software without express request of Ameriprise Financial. Independent Advisor also agrees to permit Ameriprise Financial to directly or remotely image and inspect the computers, tablets and any other devices that Independent Advisor uses to conduct business with or on behalf of Ameriprise Financial or that Independent Advisor uses to access the Ameriprise computer network. In addition, Independent Advisor agrees that Ameriprise Financial may review, store, ~~review~~ and/or reproduce that information and other stored data consistent with its legal or regulatory obligations or its business purposes. Independent Advisor acknowledges and agrees that Independent Advisor is solely responsible for protecting itself from disruptions, internet access failures, internet content failures, and attacks by hackers and /or other unauthorized intruders ~~and~~; Independent Advisor waives any and all claims Independent Advisor may have against Ameriprise Financial as the direct or indirect result of such disruptions, failures and/or attacks.

- G. Approved Products & Services. Independent Advisor agrees to obtain ~~all Ameriprise Financial~~ the Products & Services solely from Ameriprise Financial, or from suppliers approved by Ameriprise Financial. If Independent Advisor desires to offer products or services, or other than those already approved in the Manuals, Independent Advisor agrees to submit to Ameriprise Financial a written request to approve the proposed products or services and its supplier, together with such evidence of conformity with Ameriprise Financial's specifications as Ameriprise Financial may reasonably require. Independent Advisor agrees that Ameriprise Financial has the right to require that its representatives be permitted to evaluate the proposed products or services. Ameriprise Financial agrees to, within a reasonable time ~~frame~~ after its receipt of such request, notify Independent Advisor in writing of its approval or ~~disapproval~~ disapprove of the proposed products or services and/or supplier ~~-(s)~~. Ameriprise Financial reserves the right to: (1) deny approval of any proposed products or services and/or supplier ~~-(s)~~; (2) limit the number of approved products and services and approved suppliers ~~-(s)~~; and/or (3) condition approval of unapproved products and services on Ameriprise Financial being the supplier of such products and services. Independent Advisor agrees to not offer for sale or sell any products or services until Independent Advisor receives Ameriprise Financial's written approval ~~by Ameriprise Financial~~ of the proposed ~~product or service~~ products, services and/or supplier ~~is received~~ -(s). Ameriprise Financial may, from time-to-time, revoke its approval of particular Products & Services or suppliers if Ameriprise Financial determines, in its sole discretion, that the Products & Services or suppliers no longer meet the standards of Ameriprise Financial. Upon receipt of written notice of such revocation, Independent Advisor agrees to cease to offer and sell any disapproved Products & Services and/or cease to purchase from any disapproved supplier, although Independent Advisor may be permitted to continue to service such Products & Services.
- H. Use of Proprietary Marks. Independent Advisor agrees to ensure ~~that~~ all advertising and promotional materials, signs, decorations, stationery, business forms, and other items bear the Proprietary Marks in the form, color, location, and manner ~~prescribed~~ set forth by Ameriprise Financial. Independent Advisor ~~will~~ agrees to use best efforts to uphold the goodwill and reputation ~~and goodwill~~ of Ameriprise Financial, and its affiliates.
- I. Employees and Contractors of Independent Advisor. Independent Advisor agrees to be solely responsible for all employment and/or contracting decisions respecting associate financial advisors, registered staff (paraplanners), and other employees or contractors, and to comply with all state, federal, and local laws and functions of the Independent Financial Advisor Business, including, without limitation, those related to hiring, firing, training, scheduling, wage and hour requirements, compensation, benefits, promotion, record-keeping, supervision, and discipline without any influence or advice from Ameriprise Financial. Independent Advisor's employees and contractors must be competent, conscientious, and properly trained and licensed. In order to meet regulatory obligations, any employee or contractor of Independent Advisor must be approved and, if required, licensed and appointed by Ameriprise Financial. All employees or contractors of Independent Advisor will be asked to complete a third-party privacy agreement. Further, Independent Advisor agrees to have all of his or her employees and/or contractors fingerprinted as further described in the Manuals. Independent Advisor will ensure that its employees or contractors, including Associate Financial Advisors, will adhere to the same policies, procedures, rules and regulations as the Independent Advisor, as required based upon their activities under policy and applicable law.
- J. No Changes Without Consent. Independent Advisor agrees to not implement any material change to

the System without the express prior written consent of Ameriprise Financial. Independent Advisor agrees to notify Ameriprise Financial in writing of any material change to the System which Independent Advisor proposes to make, and shall provide to Ameriprise Financial, such information as Ameriprise Financial requests regarding the proposed change. Ameriprise Financial may, but is not obligated to, compensate Independent Advisor for consulting services regarding a material change to the System proposed by Independent Advisor. Independent Advisor acknowledges and agrees that Ameriprise Financial shall have the right to incorporate the proposed material change into the System and shall thereupon obtain all right, title, and interest therein without the obligation to compensate Independent Advisor.

K. WARRANTIES. AMERIPRISE FINANCIAL AND ITS AFFILIATES MAKE NO WARRANTY AND EXPRESSLY DISCLAIM ALL WARRANTIES, INCLUDING WARRANTIES OF MERCHANTABILITY AND FITNESS FOR ANY PARTICULAR PURPOSE, RESPECTING PRODUCTS, EQUIPMENT (INCLUDING ANY COMPUTER HARDWARE AND SYSTEMS), FIXTURES, FURNISHINGS, SUPPLIES OR OTHER ITEMS THAT ARE MANUFACTURED OR DISTRIBUTED BY THIRD PARTIES AND THAT AMERIPRISE FINANCIAL APPROVES FOR USE IN THE SYSTEM.

6. OPENING OF FRANCHISED BUSINESS

- A. Independent Advisor agrees to equip and furnish ~~and equip~~ the Independent Financial Advisor Business at Independent Advisor's own expense.
- B. Independent Advisor may use the Premises Location only for ~~the~~ operation of the Independent Financial Advisor Business and such other authorized activities for which Independent Advisor has obtained written consent or notice from Ameriprise Financial or has provided notice to Ameriprise Financial, as specified set forth in the Manuals.
- C. Independent Advisor agrees to be responsible for obtaining, at Independent Advisor's expense, all appropriate permits, certificates, licenses, and training, which may be required by FINRA, Ameriprise Financial, and other governmental and regulatory agencies.
- D. Independent Advisor agrees to obtain Ameriprise Financial's written approval prior to opening the Independent Financial Advisor Business, which approval shall not be unreasonably withheld, and shall Independent Advisor further agrees to open the Independent Financial Advisor Business within sixty (60) days after the date of this Agreement.

7. ORIENTATION AND TRAINING

- A. Independent Advisor represents that ~~he or she~~ Independent Advisor has the requisite experience, ~~skills~~ skill, and training to operate the Independent Financial Advisor Business in a manner consistent with the high standards of quality of advice and customer service of other Independent Financial Advisor Businesses operating under the System. Prior to ~~the opening of~~ the Independent Financial Advisor Business, Independent Advisor agrees to complete, to Ameriprise Financial's satisfaction, the initial orientation program for Independent Advisors offered by Ameriprise Financial. Independent Advisor agrees to attend regulatory compliance seminars or courses as set forth in the Manuals ~~and/or~~ (including the Compliance Policy Manual. We reserve). Ameriprise Financial reserves the right to require Independent Advisor to complete other compliance and franchise brand seminars. For a fee, Independent Advisor and Independent Advisor's employees or contractors may attend optional courses, seminars, and other training programs offered by Ameriprise Financial.
- B. Ameriprise Financial agrees to offer, as Ameriprise Financial deems appropriate, advanced education programs ("Advanced Programs") that may: (1) relate to certain Products & Services; (2) enable Independent Advisor to offer additional Products & Services; (3) enable Independent Advisor to obtain ~~permits, certificates, and licenses, and permits~~ to offer additional Products & Services; (4) satisfy regulatory requirements or direction as evidenced by formal and informal communications; and (5) cover customer service, marketing to Clients, promotion, and other topics related to team leadership and operation of the Independent Financial Advisor Business. Independent Advisor shall not be required to attend such Advanced Programs, except as necessary to satisfy regulatory requirements or direction as evidenced by formal or informal communications. Independent Advisor agrees to pay a fee, if any, specified by Ameriprise Financial to participate in all Advanced Programs.
- C. Initial orientation programs, regulatory compliance programs, and Advanced Programs shall be at such times and places or through other methods, such as computer software or websites, as may be designated by Ameriprise Financial. For the initial orientation program, Ameriprise Financial agrees to provide, at no additional charge to Independent Advisor, instructors and program materials; and

Independent Advisor agrees to be responsible for any and all other expenses incurred by Independent Advisor or its employees or contractors in connection with any such program, including, without limitation, the costs of transportation, lodging, meals, and wages.

8. PROPRIETARY MARKS

- A. Ameriprise Financial represents with respect to the Proprietary Marks that Ameriprise Financial has the right to use, and to license others to use, the Proprietary Marks.
- B. With respect to Independent Advisor's use of the Proprietary Marks:
- (1) Independent Advisor agrees to use only the Proprietary Marks designated by Ameriprise Financial, and shall use them only in the manner authorized and permitted by Ameriprise Financial. If Ameriprise Financial is no longer authorized to use the Proprietary Marks, Independent Advisor will not be able to continue to use the Proprietary Marks. If Independent Advisor has any questions about the use or a proposed use of a Proprietary Mark, Independent Advisor shall contact Ameriprise Financial for direction;
 - (2) Independent Advisor agrees to use the Proprietary Marks only (a) for the operation of the Independent Financial Advisor Business, (b) in connection with Products & Services approved in the Manuals for use in connection with the Proprietary Marks, or (c) in advertising approved by Ameriprise Financial for the Independent Financial Advisor Business;
 - (3) Unless otherwise authorized or required by Ameriprise Financial, Independent Advisor agrees to operate and advertise the Independent Financial Advisor Business only under the Proprietary Marks, and shall use all Proprietary Marks without prefix or suffix in the manner required by Ameriprise Financial;
 - (4) Independent Advisor agrees to identify himself or herself as the owner of the Independent Financial Advisor Business in conjunction with any use of the Proprietary Marks in the manner required by Ameriprise Financial;
 - (5) Independent Advisor's right to use the Proprietary Marks is limited to such uses as are authorized under this Agreement, and any unauthorized use thereof shall constitute an infringement of the rights of Ameriprise Financial;
 - (6) Independent Advisor agrees to not ~~to~~ use the Proprietary Marks to incur any obligation or indebtedness on behalf of Ameriprise Financial;
 - (7) Independent Advisor agrees to execute any documents deemed necessary by Ameriprise Financial to obtain protection for the Proprietary Marks or to maintain their continued validity and enforceability; and
 - (8) If any application for registration is, or has been, filed in any country by Independent Advisor that relates to any name, mark, or domain name which, in the sole opinion of Ameriprise Financial, is confusingly similar, deceptive or misleading with respect to the Proprietary Marks, Independent Advisor will immediately abandon any such application or registration or, at Ameriprise Financial's sole discretion, assign it to Ameriprise Financial. Independent Advisor hereby provides Ameriprise Financial with full power of attorney to implement the transfer of the name, mark, or domain name and Independent Advisor agrees to respond within forty-eight hours to all requests from the relevant registrars to implement the transfer. Independent Advisor will reimburse Ameriprise Financial for all costs and expenses of any name, mark, or domain name or other transfer of rights here under, opposition, cancellation, or related legal proceedings, including attorney's fees, instigated by Ameriprise Financial in connection with such application or registration.
 - (9) Independent Advisor will not register any domain name containing any Proprietary Mark of Ameriprise Financial or any confusingly similar variants. As solely determined by Ameriprise Financial, if Independent Advisor has registered any such domain name, Independent Advisor, as a condition of this Agreement agrees to assign all right, title and interest in and to such domain name to Ameriprise Financial.
 - (10) Independent Advisor will cause the designation "®", "SM", or "TM", as appropriate, to appear immediately after, on the upper right, of the Proprietary Marks on all advertising and promotional material and will, in addition, cause to appear on all advertising and promotional materials and all forms, invoices, stationery, business cards and other documents and materials of any kind bearing the Proprietary Marks such designations, legend, or markings or notices as may be necessary, or as

Ameriprise Financial may require, to give notice of the status of the Proprietary Marks and Ameriprise Financial's rights and interests therein; and

- (11) Independent Advisor agrees to promptly notify Ameriprise Financial of any suspected unauthorized use of the Proprietary Marks, any challenge to the validity of the Proprietary Marks, or any challenge to Ameriprise Financial's ownership of, Ameriprise Financial's right to use and to license others to use, or Independent Advisor's right to use, the Proprietary Marks. Independent Advisor acknowledges that Ameriprise Financial has the sole right to direct and control any administrative proceeding or litigation involving the Proprietary Marks, including any settlement thereof. Ameriprise Financial has the right, but not the obligation, to take action against uses by others that may constitute infringement of the Proprietary Marks. Ameriprise Financial agrees to defend Independent Advisor against any third-party claim, ~~suit,~~ lawsuit or demand arising out of Independent Advisor's authorized use of the Proprietary Marks in compliance with the terms of this Agreement and the Manuals. Independent Advisor agrees to execute any and all documents and do such acts as may, in the opinion of Ameriprise Financial, be necessary or advisable to ~~protect and maintain~~ and protect the interests of Ameriprise Financial and Independent Advisor in the Proprietary Marks. Except to the extent that such litigation is the result of Independent Advisor's use in a manner inconsistent with the terms of this Agreement, Ameriprise Financial agrees to reimburse Independent Advisor for his or her out-of-pocket costs in doing such acts.

C. Independent Advisor expressly ~~understands and~~ acknowledges and agrees that:

- (1) Ameriprise Financial and/or its affiliates are the owners of all right, title, and interest in and to the Proprietary Marks and the goodwill associated with and symbolized by them, and Ameriprise Financial has the right to use, and license others to use, the Proprietary Marks;
- (2) The Proprietary Marks are valid and serve to identify the System, the Ameriprise Financial distributed Products & Services, and those who are authorized to operate under the System;
- (3) During the term of this Agreement and after its expiration or termination, Independent Advisor agrees not to directly or indirectly contest the validity of, ~~or~~ Ameriprise Financial's ownership of, or right to use and license others to use, the Proprietary Marks;
- (4) Independent Advisor's use of the Proprietary Marks does not give Independent Advisor any ownership interest or other interest in or to the Proprietary Marks;
- (5) Any and all goodwill arising from Independent Advisor's use of the Proprietary Marks shall inure solely and exclusively to the benefit of Ameriprise Financial, and upon expiration or termination of this Agreement, no monetary amount shall be assigned as attributable to any goodwill associated with Independent Advisor's use of ~~Ameriprise Financial's~~ the System or the Proprietary Marks;
- (6) The license of the Proprietary Marks granted hereunder to Independent Advisor is nonexclusive, and Ameriprise Financial thus has and retains the rights, among others: (a) to use the Proprietary Marks itself in connection with selling products and services (including Products & Services that Independent Advisor will offer and sell); (b) to grant other licenses for the Proprietary Marks, including to licensees outside of the System; and (c) to develop and establish other systems using the Proprietary Marks, similar proprietary marks, or any other proprietary marks, and to grant licenses thereto without providing any rights therein to Independent Advisor; and
- (7) Ameriprise Financial reserves the right to substitute different proprietary marks for use in identifying the System and the businesses operating thereunder at Ameriprise Financial's sole discretion. In such event, Independent Advisor agrees, at its expense, to comply with such modification or substitution within a reasonable time after notice by Ameriprise Financial.

9. MANUALS

- A. To promote the highest standards of operation under the System, Ameriprise Financial has prepared Confidential ~~Operations and Compliance Manuals~~ (~~"Manual" or (the "Manuals")~~), to which you will be provided to you in a hardcopy, CD-ROM or electronic ~~granted~~ access or other reasonable by a method selected by us, and which include, but are not limited to, ~~manuals, bulletins, and other written policies;~~ the Confidential Operations and Compliance Manual; the Compensation Reference Guide (defined below); and bulletins, manuals, policies, and procedures setting forth the ~~mandatory and recommended minimum~~ standards for the Independent Financial Advisor Business, including, ~~but not limited to,~~ Client Satisfaction, communications, Compliance ~~and the Code of Conduct.~~ In addition, the Manuals set forth standards regarding the use of the Proprietary Marks, signage, communications,

~~privacy principles, processing procedures and the Compensation Reference Guide, privacy policies, signage, the Code of Conduct, and the Individual Treatment Policy. We will provide the Manuals to you in a hardcopy, CD-ROM or electronic access or other reasonable method.~~

- B. To protect the goodwill and reputation ~~and goodwill~~ of Ameriprise Financial and the System, Independent Advisor agrees to operate the Independent Financial Advisor Business in accordance with the required professional standards ~~specified in the Manuals, to which Independent Advisor shall be granted access by Ameriprise Financial for the term of this Agreement upon completion by Independent Advisor of Ameriprise Financial's initial orientation program to Ameriprise Financial's satisfaction. In lieu of providing Independent Advisor with electronic access to the Manuals, Ameriprise Financial may provide Independent Advisor with an alternative method to access the Manuals, such as a paper copy (or such updates to the Manuals as Ameriprise Financial may determine).~~ set forth in the Manuals.
- C. Independent Advisor agrees to treat the Manuals and any other materials created for or approved for use in the operation of operating the Independent Financial Advisor Business, and the information contained therein, as confidential, and shall ~~use all reasonable efforts to~~ maintain such information as secret and confidential. Independent Advisor agrees to not copy, duplicate, record, or otherwise reproduce the foregoing materials, in whole or in part, or otherwise make the same available to any unauthorized person.
- D. The Manuals shall remain the sole property of Ameriprise Financial and shall be securely stored by Independent Advisor.
- E. Ameriprise Financial may make reasonable interpretations and revise the contents of the Manuals from time-to-time. For business changes to the Manuals, Ameriprise Financial will provide Independent Advisor with reasonable notice. Such revisions may include the introduction of new fees and revisions to any of the fees set forth in the Manuals, this Agreement, or the Franchise Disclosure Document (including the Association Fee). Ameriprise Financial further agrees to provide Independent Advisor with sixty (60) days' written notice of any non-regulatory changes which reduce the GDC (Gross Dealer Concession) Payout Rate as defined in such Manuals. Independent Advisor agrees to comply with the required procedures identified in the revised Manuals. Any notice of revision to the Manuals may be made by revising the Manuals and notifying Independent Advisor of such revisions by any reasonable means, including, but not limited to, electronic access as noted in this section.
- F. Independent Advisor agrees to ensure ~~that~~ the Manuals are kept current at all times. In the event of any dispute as to the contents of the Manuals, the terms of the most recently communicated Manuals supersede all previous Manuals.
- G. Any required specifications, standards, and operating procedures exist to comply with regulatory requirements, to protect the System and the Proprietary Marks, and to create a uniform customer experience, and not for the purpose of establishing any control or duty to take over those matters that are reserved to Independent Advisor.

10. CONFIDENTIAL INFORMATION

- A. Independent Advisor has ~~had and/or~~ may have access to Ameriprise Financial ~~trade secrets and confidential information~~ and trade secrets that Independent Advisor agrees has great value to Ameriprise Financial. Independent Advisor agrees that because of such access, Independent Advisor is in a position of trust and confidence with respect to this information. To protect Client confidentiality, Ameriprise Financial goodwill, trade secrets, and other proprietary and confidential business information, Independent Advisor agrees to not, during the term of this Agreement or anytime thereafter, except as permitted under Section 14 regarding transfers of the Independent Financial Advisor Business, communicate, divulge, or use for himself or herself except pursuant to the System, or for the benefit of any other person, ~~partnership, association, or corporation~~ or partnership any confidential information, or trade secrets, including, ~~without limitation but not limited to~~, Client names, addresses, and data and know-how concerning the methods of operation of the System and the business franchised hereunder ~~which that~~ may be communicated to Independent Advisor or of which Independent Advisor may be apprised by virtue of Independent Advisor's operation under the terms of this Agreement. Independent Advisor also shall not reveal any information about potential clients to whom a presentation has been made by any Independent Advisor who might reasonably be expected to do business with Ameriprise Financial. Independent Advisor agrees to divulge such confidential information only to such of his or her employees as must have access to it in order to operate the

Independent Financial Advisor Business. Except as otherwise permitted in Section 19, Independent Advisor agrees that, without limitation, Client names, addresses, data and other personal and financial information contained and recorded in Client records are confidential and the property of Ameriprise Financial. Confidential information, includes but is not limited to: compilations and lists of such Client information even if such compilations or lists were the result of substantial effort, time, and/or money expended pursuant to the System. Independent Advisor further agrees to use this confidential information only in furtherance of this Agreement or in accordance with the Manuals and for no other purpose. Confidential information does not include information which is generally known outside of Ameriprise Financial other than as a result of a disclosure by Independent Advisor, Independent Advisor's agents or representatives, or any other person or entity in breach of any contractual, legal or fiduciary obligation of confidentiality to Ameriprise Financial or to any other person or entity with respect to such information.

- B. At Ameriprise Financial's request, Independent Advisor agrees to require any personnel having access to any confidential information of Ameriprise Financial or information about Clients or potential clients to execute covenants that they will maintain the confidentiality of information they receive in connection with their employment by or association with Independent Advisor in the Independent Financial Advisor Business. Such covenants shall be in a form satisfactory to Ameriprise Financial, including, without limitation, specific identification of Ameriprise Financial as a third-party beneficiary of such covenants with the independent right to enforce them.

C. Independent Advisor understands and agrees that it will come into possession of certain of Ameriprise Financial's trade secrets concerning the manner in which Ameriprise Financial conducts business, including, without limitation: methods of doing business or business processes; strategic business plans; Client information and Client lists; marketing and promotional campaigns; and any other materials clearly marked or labeled as trade secrets. Independent Advisor agrees that the forgoing information, which may or may not be considered "trade secrets" under prevailing judicial interpretations or statutes, is confidential and/or private, valuable, and constitutes trade secrets belonging to Ameriprise Financial. Independent Advisor agrees that Ameriprise Financial derives independent economic value from the forgoing information not being generally known to, and not being readily ascertainable through proper means by another person. Independent Advisor agrees to take reasonable measures, as Ameriprise Financial may described further in the Manuals, to keep such information secret. Upon termination of this Agreement, Independent Advisor will not use, sell, teach, train, or disseminate in any manner to any other person, firm, corporation, or association any trade secret pertaining to Ameriprise Financial's business and/or the manner in which it is conducted.

11. ACCOUNTING AND RECORDS

- A. Independent Advisor agrees to record all transactions on a computer system that meets the specifications of Ameriprise Financial, or on any other equipment specified by Ameriprise Financial in the Manuals or otherwise in writing. Independent Advisor agrees to prepare, and shall preserve, for the time period required by the Ameriprise Record Retention Schedule their preparation, complete and accurate books, records, and accounts in accordance with the Manuals, including but not limited to, the Operations and Compliance Policy Manuals, as defined in this Agreement.
- B. Independent Advisor agrees to, at Independent Advisor's expense, submit to Ameriprise Financial, in the form prescribed by Ameriprise Financial, such reports, forms, records, information, and data as Ameriprise Financial may require, to comply with regulatory requirements or to respond to a Client complaint or lawsuit.
- C. All original and copies of records, in any format, containing Client lists and/or information and transactions belong to Ameriprise Financial and must be returned to Ameriprise Financial upon termination or expiration of this Agreement, unless Independent Advisor transfers the Independent Financial Advisor Business as provided in Section 14. In order to permit Ameriprise Financial to fulfill its regulatory requirements, Ameriprise Financial and its designated agents shall have the right at all reasonable times, with or without notice to Independent Advisor, to examine and copy any books and records, including computerized books and records related to the Independent Financial Advisor Business.

12. ADVERTISING AND PROMOTION

- A. Ameriprise Financial Advertising Fund

(1) Recognizing the value of advertising and promotion to Ameriprise Financial and the Independent Financial Advisor Business, and the importance of coordinated advertising and ~~promotion~~promotional programs ~~to their~~ furtherance of the goodwill and public image of the System, the Parties agree as follows:

- a) Ameriprise Financial has the right, but not the obligation, to establish the System's advertising fund (the "Fund"). Part of the Association Fee paid by Independent Advisors may be used for this Fund.
- b) If established, the Fund shall be maintained and administered by Ameriprise Financial, as follows:
 - i. Ameriprise Financial agrees to direct all ~~advertising~~ programs conducted through the Fund, with sole discretion over the concepts, materials, and media used in such programs and the ~~placement and allocation~~ and placement thereof. Independent Advisor ~~agrees and acknowledges~~ and agrees that the Fund is intended to maximize general ~~public recognition, acceptance, and use~~promotion of the ~~System, Proprietary Marks and the~~ Products & Services; and that Ameriprise Financial is not obligated, in administering the Fund, to make expenditures for Independent Advisor which are equivalent or proportionate to Independent Advisor's contribution, or to ensure that any particular advisor benefits directly or pro rata from expenditures by the Fund.
 - ii. The Fund, all contributions thereto, and any earnings thereon, shall be used exclusively to promote the Proprietary Marks and the Products & Services, including to meet the costs of preparing, directing, conducting, and administering advertising, marketing, public relations, and/or promotional ~~programs and materials, materials and programs, reasonable costs of administering the Fund (including the cost of employing advertising, public relations, and other third party agencies; accounting expenses; and the actual costs of salaries and fringe benefits paid to Ameriprise Financial's employees engaged in administration of the Fund),~~ and any other activities which Ameriprise Financial believes will enhance the image of the System, including, the costs of preparing and conducting media advertising campaigns; direct mail advertising; marketing surveys; employing advertising and/or public relations agencies to assist therein; purchasing promotional items; conducting and administering in office promotions; and providing promotional and other marketing materials and services to the businesses operating under the System.

B. Regional/Local Advertising Campaigns

- (1) Ameriprise Financial may designate any geographical area for purposes of establishing a regional or local advertising and promotional campaign ("~~Campaign~~",") and to determine whether a Campaign is applicable to the Independent Financial Advisor Business. If a Campaign has been established and is applicable to the Independent Financial Advisor Business, at Independent Advisor's option and expense, Independent Advisor may become a member of such Campaign. The following provisions shall apply to each Campaign.
- a) Each Campaign shall be coordinated by Ameriprise Financial or Ameriprise Financial's designees (such as Ameriprise Financial's Regional Vice Presidents), and shall commence operation, on a date approved in advance by Ameriprise Financial in writing.
 - b) Each Campaign shall be established and organized for the exclusive purpose of administering regional or local advertising programs and developing, subject to Ameriprise Financial's approval, standardized advertising materials for use by the members in local advertising.
 - c) No advertising or promotional ~~or advertising plans or~~ materials or plans may be used by a Campaign or furnished to its members without the prior approval of Ameriprise Financial to conform to regulatory requirements and to protect the value of the Proprietary Marks. All such plans and materials shall be submitted to Ameriprise Financial in accordance with the procedure set forth in this Section.
 - d) Each Independent Advisor who is a member of the Campaign agrees to submit to the Campaign, his or her contribution together with such other reports or statements ~~or reports~~ as may be required by Ameriprise Financial or by the Campaign.
 - e) Only Independent Advisors who are members of the Campaign will receive ~~the~~ leads resulting from the Campaign.

C. Independent Advisor Advertising

- (1) All advertising and promotion by Independent Advisor shall be in such media~~and~~₂ of such type₂ and format as Ameriprise Financial may approve, shall be conducted in a dignified manner, and shall conform to such standards and requirements as Ameriprise Financial may specify to conform to regulatory requirements and to protect the value of the Proprietary Marks. Independent Advisor agrees to not use any advertising or promotional plans or materials unless and until Independent Advisor has received written approval from Ameriprise Financial, pursuant to the procedures and terms set forth in this Section~~or in the Manuals~~. Independent Advisor agrees to submit samples of all advertising and promotional plans and materials to Ameriprise Financial, for Ameriprise Financial's prior approval if such plans and materials have not been prepared or previously approved by Ameriprise Financial within the prior one-year period. Independent Advisor agrees to not use such plans or materials until they have been approved in writing by Ameriprise Financial.
- (2) Ameriprise Financial may make available to Independent Advisor, at Independent Advisor's expense, preapproved advertising plans and promotional materials, including newspaper mats, merchandising materials, sales aids, point of purchase materials, special promotions, direct mail materials, and similar advertising and promotional materials. Ameriprise Financial may derive revenue on making available such advertising and promotional materials to Independent Advisors.
- (3) If Independent Advisor has the appropriate licenses and satisfies all regulatory requirements, Independent Advisor may obtain listings for the Independent Financial Advisor Business in telephone directories. The content and appearance of any telephone listing shall conform to Ameriprise Financial's pre-approved format, to conform to regulatory requirements and to protect the value of the Proprietary Marks.
- (4) If Ameriprise Financial believes that any advertising or promotional materials may cause a conflict with protecting the value of the Proprietary Marks, Independent Advisor must cease the use of such advertising or promotional materials or amend to meet Ameriprise Financial standards. Ameriprise Financial has final approval authority over the materials.

D. Websites

Independent Advisor specifically acknowledges and agrees that all websites and internet advertising, including any revisions, must be approved in advance by, and must be in a format designed by, Ameriprise Financial.

13. ERRORS AND OMISSIONS AND OTHER INSURANCE PROGRAMS

~~Errors and Omissions~~

Errors and Omissions

- A. During the term of this Agreement, Independent Advisor agrees to participate in Ameriprise Financial's Errors and Omissions Program protecting Independent Advisor, Ameriprise Financial, Ameriprise Financial's affiliates, and their respective officers, directors, ~~employees~~, partners, ~~and agents, and employees~~ against demands or claims arising or occurring in connection with the Independent Financial Advisor Business as a result of errors or omissions₂ as defined in the Manuals. Such program may be provided by Ameriprise Financial or at Ameriprise Financial's sole discretion, written by a carrier or carriers approved by Ameriprise Financial, shall name Ameriprise Financial and Ameriprise Financial's affiliates as additional parties as specified by Ameriprise Financial, and shall provide at least the types and minimum amounts of coverages specified in the Manuals. Independent Advisor agrees to pay any fees required to participate in the errors and omissions program which will be deducted from the portion of Compensation due to the Independent Advisor. The fees for the errors and omissions coverage per Independent Advisor will vary depending on (1) the amount of coverage chosen and (2) the number of Associate Financial Advisors employed or contracted by Independent Advisor.

Other Insurance

- B. Ameriprise Financial recommends that Independent Advisor procure, prior to ~~the~~ commencement of any operations under this Agreement, and maintain in full force and effect at all times during the term of this Agreement, at Independent Advisor's expense, an insurance policy or policies protecting Independent Advisor against any demand or claim with respect to personal injury, death, or property damage, or any loss, liability, or expense whatsoever arising or occurring upon or in connection with the Independent Financial Advisor Business, including, but not limited to, comprehensive general liability insurance, property insurance, automobile liability, workers compensation or employment

practice liability insurance, if applicable. For good risk management purposes, Ameriprise Financial recommends that any insurance policy or policies procured by Independent Advisor with respect to the Independent Financial Advisor Business, also protect Ameriprise Financial, ~~and Ameriprise Financial's affiliates, and their respective officers, directors, employees, partners, and agents and employees.~~ Independent Advisor acknowledges and agrees ~~that Independent Advisor to~~ indemnify Ameriprise Financial as provided in Section 21 hereof.

14. SUCCESSION PLANNING

- A. Ameriprise Financial Transfer Ameriprise Financial shall have the right to transfer or assign this Agreement and all or any part of its rights or obligations herein to any person or legal entity, ~~and provided that~~ any designated assignee of Ameriprise Financial ~~agrees will agree~~ to become solely responsible for all obligations of Ameriprise Financial under this Agreement from the date of assignment. Independent Advisor agrees to execute such documents of acknowledgment or otherwise as Ameriprise Financial shall request.
- B. Independent Advisor Transfer with Ameriprise Financial Consent. Independent Advisor understands and acknowledges that the rights and duties set forth in this Agreement are personal to Independent Advisor, and that Ameriprise Financial has granted this franchise in reliance on Independent Advisor's business skill, financial capacity, and personal character. Accordingly, neither Independent Advisor nor any immediate or remote successor to any part of Independent Advisor's interest in this Agreement or in the Independent Financial Advisor Business shall sell, assign, transfer, convey, pledge, encumber, merge, or give away (collectively, "transfer") any direct or indirect interest in this Agreement or in all or any portion of the assets of the Independent Financial Advisor Business without the prior written consent of Ameriprise Financial. Any purported assignment or transfer not having the written consent of Ameriprise Financial required by this Section 14 shall be null and void and shall constitute a material breach of this Agreement, for which Ameriprise Financial may immediately terminate without opportunity to cure pursuant to Section 17 of this Agreement.
- C. Conditions for Consent of Transfer. Independent Advisor agrees to notify Ameriprise Financial in writing of any proposed transfer of any direct or indirect interest in this Agreement ~~or, in all, or any portion,~~ of the assets of the Independent Financial Advisor Business, ~~or in any client accounts at least thirty (30) days before prior to~~ such transfer is proposed to take place, ~~as more fully described in set forth~~ the Manuals. Independent Advisor agrees to provide Ameriprise Financial with such ~~information and~~ documentation and information relating to the offer as Ameriprise Financial may require. Ameriprise Financial may withhold its consent of any transfer: (1) if the transferee is not eligible to enter into a Franchise Agreement; (2) if the proposed transfer is to a corporation, ~~partnership, or~~ limited liability company or partnership; or (3) for any other reasonable reason. Moreover, without limiting the preceding, upon a transfer, Ameriprise Financial requires all of the following as conditions of its approval:
- (1) That all of Independent Advisor's accrued monetary obligations and all other outstanding obligations to Ameriprise Financial and its affiliates related to the Independent Financial Advisor Business have been resolved to Ameriprise Financial's satisfaction;
 - (2) That Independent Advisor is not in default of any provision of this Agreement, any amendment hereof or successor hereto, or any other agreement between Independent Advisor and Ameriprise Financial or its affiliates;
 - (3) That Independent Advisor agrees to have executed a general release, in a form satisfactory to Ameriprise Financial, of any and all claims against Ameriprise Financial and its affiliates, and their respective officers, directors, shareholders, and employees as more fully described in the Manuals;
 - (4) That: (a) if the transferee is not an Independent Advisor under the System, the transferee execute, for a term ending on the expiration date of this Agreement and with such renewal term(s) as may be provided by this Agreement, the then-current form of Franchise Agreement and other ancillary agreements, including the applicable Addendum No. 3, as Ameriprise Financial may require for the Independent Financial Advisor Business, which agreements shall supersede this Agreement in all respects; or (b), if the transferee is an Independent Advisor under the System, the transferee enter into a written assignment, in a form satisfactory to Ameriprise Financial, assuming and agreeing to discharge all of Independent Advisor's obligations under the terms of the transferee's existing franchise agreement with Ameriprise Financial;

- (5) That the transferee ~~demonstrated~~demonstrates to Ameriprise Financial's satisfaction that transferee has all appropriate permits, certificates, licenses, and training which may be required by Ameriprise Financial, FINRA, and governmental and regulatory agencies; be in compliance with the minimum requirements to be in good standing with this Agreement as set forth in Section 5 and has adequate resources, both financial and operational, and capital to operate the Independent Financial Advisor Business;
 - (6) That Independent Advisor remain liable for all of the obligations to Ameriprise Financial in connection with the Independent Financial Advisor Business which arose prior to the effective date of the transfer and execute any and all instruments reasonably requested by Ameriprise Financial to evidence such liability;
 - (7) That the transferee, as part of the Initial Fee, complete any orientation programs then in effect for Independent Advisors upon such terms and conditions as Ameriprise Financial may reasonably require;
 - (8) That the transfer is in good faith; and
 - (9) That Independent Advisor pay a transfer fee as fully described in the Manuals, at Ameriprise Financial's request, to reimburse Ameriprise Financial for administration of reassigning clients. A transfer fee may also be required should Independent Advisor relinquish clients to Ameriprise Financial. Ameriprise Financial may expand upon and provide more details related to the conditions for transfer and Ameriprise Financial's consent as described in this Section 14(C), and may do so in the Manuals, or otherwise in writing.
- D. Ameriprise Financial Termination of Franchise Agreement for Cause. If this Agreement is terminated for reasons outlined in Section 17 hereof, with the exception of paragraphs B. (4) and/or (17), or abandonment of practice, Ameriprise Financial will honor any agreement with another Independent Advisor, that is consistent with ~~the~~Ameriprise Financial's succession planning policies.
- E. Ameriprise Financial Approval at Time of Succession Planning Agreement and Transfer. If Independent Advisor has entered into a succession planning agreement with the transferee, Ameriprise Financial has the right to review the transferee under the conditions of Section 5 and Section 14 of this Agreement both at the time the succession planning agreement was entered into, at the time of the proposed transfer, and at the time of any subsequent amendments, whether oral or written. If Independent Advisor participates in any special optional programs, additional transfer requirements may apply as further described in the Manuals.
- F. Ameriprise Financial's Right to Purchase. If less than ninety (90) days prior to any proposed transfer, Independent Advisor has entered into a succession planning agreement with a transferee, Ameriprise Financial shall have the right and option to purchase the Independent Financial Advisor Business on the same terms and conditions as described in the succession planning agreement at any time up to the date of transfer.

If ninety (90) days or more prior to the proposed transfer, Independent Advisor has entered into a succession planning agreement with a transferee:

- (1) Ameriprise Financial shall have the ~~right and option~~ and right, exercisable within thirty (30) days of Ameriprise ~~Financial receiving the~~Financial's receipt of an executed succession planning agreement, to purchase the Independent Financial Advisor Business on the same terms and conditions as described in the succession planning agreement.
- (2) If Ameriprise Financial has not exercised the opportunity to buy or right of first refusal, as described in this Section 14, Ameriprise Financial agrees to not have a right or option to purchase the Independent Financial Advisor Business at the time of the proposed transfer. If Ameriprise Financial elects not to purchase the Independent Financial Advisor Business, any material change thereafter in the terms of the offer from a transferee shall constitute a new offer subject to the same rights of first refusal by Ameriprise Financial as in the case of the transferee's initial offer. Failure of Ameriprise Financial to exercise the option afforded by this Section 14 shall not constitute a waiver of any other provision of this Agreement, including all of the requirements of this Section, 14 with respect to a proposed transfer.
- (3) If, upon Ameriprise Financial's offer to purchase the Independent Financial Advisor Business on similar terms and conditions, Independent Advisor chooses not to sell to Ameriprise Financial, Independent Advisor has the right to withdraw the offer to enter into a succession planning

agreement and continue operating ~~his or her~~the Independent Financial Advisor Business.

- G. Ameriprise Financial's Purchase of Independent Financial Advisor Business. If Ameriprise Financial elects to purchase the Independent Financial Advisor Business pursuant to Section 14(F) hereof, closing on such purchase shall occur within thirty (30) days with a specified transfer date from the date of notice to the seller of the election to purchase by Ameriprise Financial. In the event the consideration, terms, and/or conditions offered by a transferee are such that Ameriprise Financial may not reasonably be required to furnish the same consideration, terms, and/or conditions, then Ameriprise Financial may purchase the interest proposed to be sold for the reasonable equivalent in cash. If the parties cannot agree within thirty (30) days on the reasonable equivalent in cash of the consideration, terms, and/or conditions offered by the transferee, an independent appraiser shall be designated and mutually agreed upon by Ameriprise Financial and Independent Advisor, at Ameriprise Financial's expense, and the appraiser's determination shall be binding.
- H. Transfer upon Death, Mental or Physical Incapacity. Ameriprise Financial encourages Independent Advisor, for a variety of business reasons, including anticipation of death~~or,~~ mental or physical incapacity, to execute an agreement with another Independent Advisor, consistent with the succession planning policies in this Section 14. The Independent Financial Advisor Business will immediately transfer to ~~that~~the designated Independent Advisor, upon the death~~or,~~ mental or physical incapacity of Independent Advisor, provided the transferee is still meeting the requirements in Sections 5 and 14 at the time of the transfer. Such transfers, including~~, without limitation but not limited to,~~ transfers by devise or inheritance, shall be subject to the same conditions as any inter vivos transfer. In the event an agreement does not exist, Ameriprise Financial, for a management fee, will manage the Independent Financial Advisor Business for up to ninety (90) days from the death~~or,~~ mental or physical incapacity of Independent Advisor, until the Independent Advisor, executor, or other personal representative can find a buyer for Ameriprise Financial to review. Independent Advisor agrees and understands the Clients of~~the~~ Independent Advisor may be reassigned to other advisors to receive service during this ninety-day period. The management fee (further described in the Compensation Reference Guide) equals all the compensation, including but not limited to trailing compensation and service fees, generated from the Independent Financial Advisor Business while a buyer is being located and approved. The estate is responsible for all expenses relating to the Independent Financial Advisor Business during this time. If the Independent Financial Advisor Business is not disposed of within ninety (90) days after such death~~or,~~ mental or physical incapacity, Ameriprise Financial may terminate this Agreement, pursuant to Section 17 hereof.
- I. ~~I.~~ No Waiver of Claims upon Transfer. Ameriprise Financial's consent to a transfer of any interest in this Agreement or in all or any portion of the assets of the Independent Financial Advisor Business, or any client accounts shall not constitute a waiver of any claims it may have against the transferring party, nor shall it be deemed a waiver of Ameriprise Financial's right to demand exact compliance with any of the terms of this Agreement by the transferor or transferee.
- J. ~~J.~~ No Security Interest without Ameriprise Financial Consent. Independent Advisor agrees to not grant a security interest in the Independent Financial Advisor Business or in any of the assets of the Independent Financial Advisor Business, without the prior written consent of Ameriprise Financial.

15. COMPLIANCE AND INSPECTIONS

- A. Independent Advisor agrees to comply with the required policies and procedures set forth in the Manuals as defined herein and the Individual Treatment Policy. Compliance with ~~such all applicable~~ laws~~, and~~ regulations, and such policies and procedures ~~is~~are required to ensure that Ameriprise Financial and Independent Advisor are in good standing with the regulators. Independent Advisor agrees to timely obtain and maintain all licenses and registrations with Ameriprise Financial necessary for the full and proper conduct of the Independent Financial Advisor Business and the offering of Products & Services, including any required FINRA, state securities and/or insurance licenses, licenses to do business, state investment adviser registrations, sales tax permits, and/or clearances. Independent Advisor understands the lack of a license or registration may prevent the Independent Advisor from conducting business~~, and receiving compensation.~~ Independent Advisor is an associated person of Ameriprise Financial and agrees to be supervised for regulatory compliance purposes by the Registered Principal as described in the Manuals. To ensure a high level of regulatory compliance, Independent Advisor agrees to promptly respond to requests for information from, and to provide original records and documents to, Registered Principals and Ameriprise Financial employees and agents, including

Senior Regional Risk Managers and Regional Registered Principals, upon demand.

- B. Independent Advisor agrees to immediately notify Ameriprise Financial of the occurrence of any of the following events: (1) inspection, investigation, notice, request or citation of Independent Advisor or the Independent Financial Advisor Business by FINRA, the Securities and Exchange Commission (“SEC”), state securities regulators, state insurance commissioners or any other governmental or regulatory agencies; (2) suspension of any license or registration related to the Independent Financial Advisor Business or the sale of any Products or Services; (3) alleged violation of any federal, state, local, or FINRA laws or regulations related to Products or Services, or to the Independent Financial Advisor Business; (4) action, suit, disciplinary proceeding or other proceeding, and/or the issuance of any fine, sanction, order, writ, injunction, award, judgment, or decree of FINRA or any court, regulator, agency, or other governmental instrumentality, against Independent Advisor or which may adversely affect Independent Advisor or the operation or financial condition of the Independent Financial Advisor Business; or (5) Client complaints.
- C. Independent Advisor agrees to permit Ameriprise Financial, the Registered Principals, Senior Regional Risk Managers, Regional Registered Principals, Ameriprise Financial’s agents and employees, and governmental and regulatory agencies required to have access by law (collectively, the “Inspectors”) to enter upon the Premises at any time, with or without notice to Independent Advisor, during normal business hours for the purpose of conducting inspections to confirm compliance with the terms of this Agreement, the Manuals and applicable rules and regulations; shall cooperate with Inspectors in such inspections by rendering such assistance as they may reasonably request, including providing access to all originals and copies of books and records, including electronic books and records; and, upon notice from Inspectors, and without limiting Ameriprise Financial’s other rights under this Agreement, shall take such steps as may be necessary to correct immediately any deficiencies detected during any such inspection within a reasonable time as determined by Ameriprise Financial. Independent Advisor understands that all such books and records are the property of Ameriprise Financial, not Independent Advisor, and that all such books and records, including all copies and electronic files, shall be given to Ameriprise Financial upon the termination of this Agreement.
- D. In accordance with FINRA requirements, Ameriprise Financial agrees to investigate and resolve complaints and compliance issues involving Independent Advisor. Ameriprise Financial agrees to provide Independent Advisor with an opportunity to respond to complaints and supply documentation, but Ameriprise Financial maintains the right to settle these issues. Independent Advisor will have access to an internal appeals process should a dispute on the resolution of a case occur. Ameriprise Financial may assess applicable settlement costs, subject to whatever offsets, if any, are afforded Independent Advisor by the Ameriprise Financial errors and omissions program, and fines against Independent Advisor for failure to comply with regulatory requirements and company policies as set forth in the Manuals. These costs and fines may be deducted directly from Independent Advisor’s Compensation or any amounts otherwise due to Independent Advisor by Ameriprise Financial; however, Ameriprise Financial agrees to allow either or both to be paid directly to Ameriprise Financial should the Independent Advisor so choose.

16. ADDITIONAL SUPERVISION

- A. Ameriprise Financial, at its sole discretion, may apply additional supervision to ~~an~~ Independent Advisor for a period of time, and place certain restrictions on Independent Advisor and /or the Independent Financial Advisor Business. Restrictions may include, but are not limited to: (1) terminating some of Independent Advisor’s rights to offer Products & Services; (2) suspending or placing restrictions on Independent Advisor’s rights to operate the Independent Financial Advisor Business and/or offer Products & Services; (3) requiring Independent Advisor to obtain additional training; (4) imposing heightened supervision of Independent Advisor and the Independent Financial Advisor Business; (5) reducing the payout to which Independent Advisor would otherwise be entitled; (6) stopping all payments to Independent Advisor during any suspension and reassign Clients of Independent Advisor to another Independent Advisor or Ameriprise Financial who shall receive all compensation including, but not limited to, ~~the~~ commission, loads, asset management fees, trailing compensation, and service fees to which Independent Advisor would have been eligible; (7) deeming Independent Advisor ineligible to earn or receive special designation, incentive and recognition awards, and trips; ~~and~~ and (8) such other requirements that Ameriprise Financial may require, effective immediately upon the provision of notice to Independent Advisor (in the manner provided under Section 23 hereof ~~;-)~~).

- B. Upon notice from Ameriprise Financial that Independent Advisor has been placed on additional supervision, Independent Advisor agrees to immediately comply with the terms of such supervision. Independent Advisor's failure to comply with the additional supervision terms shall be deemed a default under the "Immediate Termination" provision of Section 17, ~~below~~ hereof.

17. DEFAULT AND TERMINATION

- A. Termination by Independent Advisor. Independent Advisor may terminate this Agreement upon fourteen (14) days' written notice to Ameriprise Financial in the manner provided in Section 23 hereof and, if applicable, Addendum No. 3 hereto. The fourteen-day period shall begin on the day the written notice is received by Ameriprise Financial and continue through and include the fourteenth day thereafter. The termination shall take effect on the date specified in the notice or as directed by Ameriprise Financial.
- B. Immediate Termination with Cause. Upon the occurrence of any of the following events of default, Ameriprise Financial may, at its option, terminate this Agreement and all rights granted hereunder, which events shall constitute good cause to the extent permitted by law, without affording Independent Advisor any opportunity to cure the default, effective immediately upon the provision of notice to Independent Advisor (in the manner provided under Section 23 hereof). In the event Ameriprise Financial believes any law may prohibit the immediate termination of this Agreement, Ameriprise Financial may immediately suspend Independent Advisor, who shall remain suspended until such time as Ameriprise Financial either terminates this Agreement or ends the suspension. Any Independent Advisor who is suspended must temporarily cease operations, although such Independent Advisor will receive compensation that Independent Advisor is entitled ~~according to~~ as set forth in the Manuals at the time the suspension is lifted.
- (1) If Independent Advisor fails to locate an approved site or to open the Independent Financial Advisor Business within the time limits provided in Section 6 ~~of this Agreement~~ hereof;
 - (2) If Independent Advisor fails to complete the initial orientation program described in Section 7 hereof to Ameriprise Financial's satisfaction;
 - (3) If Independent Advisor, at any time, ceases to operate or otherwise abandons the Independent Financial Advisor Business, enters into an unauthorized agency agreement with a competitor or imminently plans to do so, or otherwise forfeits the right to do or transact business in the jurisdiction where the Independent Financial Advisor Business is located. However, if, through no fault of Independent Advisor, the ~~Premises are~~ Location is damaged or destroyed by an event such that repairs or reconstruction cannot be completed within sixty (60) days thereafter or Independent Advisor loses the right of possession of the ~~Premises~~ Location, then Independent Advisor agrees to have sixty (60) days after such event in which to apply for Ameriprise Financial's approval to relocate the Independent Financial Advisor Business, which approval shall not be unreasonably withheld;
 - (4) If Independent Advisor is charged with, pleads nolo contendere to, or is convicted of a felony, ~~or~~ becomes subject to statutory disqualification by ~~the~~ FINRA, or is convicted of a crime involving moral turpitude or dishonesty, or any other crime or offense that Ameriprise Financial believes is reasonably likely to have an adverse effect on the System, the Proprietary Marks, the goodwill associated therewith, or Ameriprise Financial's interest therein, or if Ameriprise Financial has reasonable proof that Independent Advisor has engaged in any of the above conduct;
 - (5) If Independent Advisor fails to obtain or loses any appropriate licenses which may be required by Ameriprise Financial, ~~the SEC, FINRA, SEC,~~ and governmental and regulatory agencies to operate the Independent Financial Advisor Business or offer Products & Services;
 - (6) If any purported assignment or transfer of any direct or indirect interest in this Agreement or in all or any portion of all of the assets of the Independent Financial Advisor Business, or any client accounts, is made to any transferee without Ameriprise Financial's prior written consent, contrary to the terms of Section 14 hereof;
 - (7) If an approved transfer is not effected within the time provided following death ~~or~~, mental or physical incapacity, as required by Section 14 hereof;
 - (8) If Independent Advisor fails to comply with the covenants in Section 19 hereof or fails to obtain execution of the covenants required under Sections 10 or 19 hereof;

- (9) If, contrary to the terms of Sections 9 or 10 hereof, Independent Advisor discloses or divulges the contents of the Manuals or other confidential information provided to Independent Advisor by Ameriprise Financial;
- (10) If Independent Advisor knowingly maintains false books and/or records, or submits any false reports to Ameriprise Financial;
- (11) If Independent Advisor is involved in misappropriating monies, fails to timely transmit Client funds or securities to Ameriprise Financial, ~~or~~ engages in unauthorized activities or violates the policies or procedures set forth in the ~~Compliance Policy Manual and other~~ Manuals and/or the Individual Treatment Policy;
- (12) If Independent Advisor misuses or makes any unauthorized use of the Proprietary Marks or any other identifying characteristics of the System, or otherwise materially impairs the goodwill associated therewith or Ameriprise Financial's rights therein;
- (13) If Independent Advisor refuses to permit an Inspector to inspect the Premises, Location, and/or the books, records, or accounts of Independent Advisor upon demand;
- (14) If Independent Advisor, upon receiving a notice of default under Section 17 hereof entitled "Termination with an Opportunity to Cure Within Thirty (30) Days," ~~fails to initiate~~ initiate a remedy to cure such default;
- (15) If Independent Advisor, after curing a default pursuant to Section 17 hereof entitled "Termination with an Opportunity to Cure Within Thirty (30) Days," ~~commits the same default again, whether or not cured after notice;~~
- (16) If Independent Advisor fails to comply with the terms of ~~Special Regulatory~~ Additional Supervision; or
- (17) If Independent Advisor is alleged to have violated federal or state civil or common law that Ameriprise Financial believes is reasonably likely to have an adverse effect on the System, the Proprietary Marks, the goodwill associated therewith, or Ameriprise Financial's interest therein.

C. Termination with an Opportunity to Cure Within Thirty (30) Days. Except as otherwise provided in Section 17 entitled "Immediate Termination With Cause" and Section 17 entitled "Termination with an Opportunity to Cure within One (1) Year," upon any other default by Independent Advisor, Ameriprise Financial may terminate this Agreement by ~~giving~~ providing written notice of termination (in the manner set forth under Section 23 hereof), stating the nature of the default, to Independent Advisor at least thirty (30) days prior to the effective date of termination; provided, however, that Independent Advisor may avoid termination by immediately initiating a remedy to cure such default, curing it to Ameriprise Financial's satisfaction, and by promptly providing proof thereof to Ameriprise Financial within the thirty (30) day period. If any such default is not cured within the specified time, or such longer period as applicable law may require, this Agreement shall terminate without further notice to Independent Advisor, effective immediately upon the expiration of the thirty (30) day period or such longer period as applicable law may require and Ameriprise Financial may re-assign any Clients assigned to ~~the~~ Independent Advisor. Defaults which are susceptible of cure hereunder include the following illustrative events:

- (1) If Independent Advisor fails to substantially comply with any of the requirements imposed by this Agreement;
- (2) If Independent Advisor fails, refuses, or neglects to promptly ~~to~~ pay any monies owing to Ameriprise Financial or its affiliates when due, or to submit the financial or other information required by Ameriprise Financial under this Agreement;
- (3) Except as provided in Section 17 entitled "Immediate Termination With Cause," if Independent Advisor fails, refuses, or neglects to obtain Ameriprise Financial's consent or prior written approval ~~or consent~~ as required by this Agreement; ~~or~~
- (4) If Independent Advisor engages in any business or markets any product or service ~~or product~~ under a name or mark which, in Ameriprise Financial's sole opinion, is confusingly similar to the Proprietary Marks; or

~~(4)(5)~~ If Independent Advisor fails to comply with the terms and conditions of Independent Advisor's offer letter.

D. Termination with an Opportunity to Cure within One (1) Year. Upon the occurrence of any of the

following events of default, determined annually, Ameriprise Financial may, at its option, terminate this Agreement and all rights granted hereunder, by giving written notice of termination (in the manner set forth under Section 23 hereof), stating the nature of the default, to Independent Advisor one (1) year prior to the effective date of termination; provided, however, that Independent Advisor may avoid termination by immediately initiating an approved written remedy to cure such default, curing it to Ameriprise Financial's satisfaction, and by providing proof thereof to Ameriprise Financial within such one (1) year period. If any such default is not cured within the one (1) year period, this Agreement shall terminate without further notice to Independent Advisor, effective immediately upon the expiration of such one (1) year period.

- (1) If Independent Advisor fails to maintain Client Satisfaction Standards of at least seventy percent (70%), as ~~more fully described~~ set forth in the Manuals; or
- (2) If Independent Advisor fails to maintain ~~aaa~~ registered office with the equipment, fixtures, and furnishings ~~and equipment~~ necessary to maintain professional standards for ~~the~~ operation of the Independent Financial Advisor Business or if Independent Advisor fails to install signs, as ~~provided~~ set forth in the Manuals.

E. Subject to State Law. All provisions of Section 17 are subject to state law.

18. OBLIGATIONS UPON TERMINATION OR EXPIRATION

Upon termination or expiration of this Agreement, all rights granted hereunder to Independent Advisor shall forthwith terminate although Independent Advisor's duties under this Agreement shall continue as specified in this Section 18, and:

- A. Independent Advisor agrees to immediately cease ~~to operate~~ operating the Independent Financial Advisor Business, and Independent Advisor agrees to not thereafter, directly or indirectly, represent to the public or hold himself or herself out as a present or former franchisee of Ameriprise Financial.

If this Agreement is terminated for reasons outlined in Section 17 (Immediate Termination with Cause), with the exception of paragraphs B. (4) and/or (17), or because the Independent Advisor abandons the Independent Advisor's practice, Ameriprise Financial will honor any agreement with another Independent Advisor, consistent with the transfer of interest policies in Section 14, or, Independent Advisor can attempt to locate a buyer for Ameriprise Financial to approve. Independent Advisor agrees to release all client files to the Region Vice President or designate immediately upon termination. Ameriprise Financial, for a management fee, will manage the Independent Financial Advisor Business for up to ninety (90) days until a buyer can be found and approved. Independent Advisor agrees and understands the Clients of the Independent Advisor may be reassigned to other advisors to receive service during this period. The management fee (further defined in the Compensation Reference Manual) is all compensation including, but not limited to, trailing compensation which Independent Advisor would have been eligible while a buyer is being located and approved. During this ninety (90) day period, Independent Advisor agrees that Ameriprise Financial has the sole right to assign or reassign Clients in any manner it chooses, and that Independent Advisor shall have no legal or equitable claim against Ameriprise Financial for such assignment. If a buyer is not found and approved within the ninety (90) days after such termination, the Independent Financial Advisor Business agrees that the right to the equity in the Independent Advisor business is terminated. In the interests of good client relationships, Ameriprise Financial will assume continuous service to all Clients.

~~B. _____~~ Independent Advisor agrees to immediately and permanently cease to use, in any manner whatsoever,

- B. ; any confidential methods, procedures, and techniques associated with the System; the Proprietary Marks; and distinctive forms, slogans, signs, symbols, and devices associated with the System. In particular, Independent Advisor agrees to cease ~~to use~~ of, without limitation, all signs, advertising materials, displays, stationery, forms, products, social media, and any other articles which display the Proprietary Marks.
- C. Independent Advisor agrees to make such modifications or alterations to the Premises immediately upon termination or expiration of this Agreement as may be necessary to distinguish the Premises from that of the Independent Financial Advisor Business under the System and to comply with all applicable laws and the Ameriprise Financial privacy policy, and shall make such specific additional changes thereto as Ameriprise Financial may reasonably request for the purpose identified herein. In the event Independent Advisor fails or refuses to comply with the requirements of this Section 18, Independent

Advisor agrees Ameriprise Financial has the right to enter upon the Premises, without being guilty of trespass or any other tort, for the purpose of making or causing to be made such changes as Ameriprise Financial may require, at the expense of Independent Advisor, which expense Independent Advisor agrees to pay upon demand.

- D. If after Independent Advisor's termination, Independent Advisor remains in the same premises leased or otherwise occupied by other Ameriprise financial advisors, and structural or other alterations to the premises must be made for the reasons identified in Section 18D of the Franchise Agreement, Independent Advisor agrees to pay the full cost of such changes. Consistent with Ameriprise Financial's right to withhold sums due to Independent Advisor for up to six (6) weeks after termination and offset from such amounts all sums due from Independent Advisor to Ameriprise Financial or its affiliates, Ameriprise Financial may withhold amounts incurred for alterations. Independent Advisor will remain responsible for paying, and shall pay to Ameriprise Financial, all amounts incurred for all alterations to the premises.
- E. At Ameriprise Financial's expense, Ameriprise Financial reserves the right to add a forwarding message to any such telephone number no longer used by Independent Advisor, indicating the telephone number for Ameriprise Financial and for the departing Independent Advisor.
- F. Independent Advisor agrees, in the event he or she continues to operate or subsequently begins to operate any other business, not to use any reproduction, counterfeit, copy, or colorable imitation of the Proprietary Marks, either in connection with such other business or the promotion thereof, which, in Ameriprise Financial's sole discretion, is likely to cause confusion, mistake, or deception, or which, in Ameriprise Financial's sole discretion, is likely to dilute Ameriprise Financial's rights in and to the Proprietary Marks. Independent Advisor further agrees not to utilize any designation of origin, description, or representation (including but not limited to reference to Ameriprise Financial, the System, or the Proprietary Marks) which, in Ameriprise Financial's sole discretion, suggests or represents a present or former association or connection with Ameriprise Financial, the System, or the Proprietary Marks.
- G. Independent Advisor agrees to promptly pay all sums owing to Ameriprise Financial and its affiliates including, but not limited to, any advance payment for refunded products and services. In the event of termination for any default of Independent Advisor, such sums shall include all damages, costs, and expenses (including reasonable attorneys' fees), and interest on such damages, costs and expenses incurred by Ameriprise Financial as a result of the default. Ameriprise Financial may withhold all sums due to Independent Advisor for up to six (6) weeks and may offset from such amounts all sums due from Independent Advisor to Ameriprise Financial or its affiliates. Any negative balance will require repayment by Independent Advisor.
- H. Unless otherwise mandated by state or federal law or governmental regulations, or required by Ameriprise Financial's privacy policy in existence at the time of Independent Advisor's termination, Independent Advisor agrees to immediately deliver to Ameriprise Financial the Manuals, Compliance Policy Manuals, and all other original and copies of records (including electronic or computer-generated copies, even if such copies were made in violation of this Agreement), including most recent financial plans and recommendations, computer databases and files, correspondence, and instructions containing confidential information relating to the System, all of which are acknowledged to be the property of Ameriprise Financial. Moreover, unless otherwise mandated by state or federal law, or governmental regulations, or required by the Ameriprise Financial privacy policy in existence at the time of Independent Advisor's termination, Independent Advisor agrees to immediately deliver to Ameriprise Financial the originals and copies of all Client records, including, for example, records containing Client lists and/or information and transactions belonging to Ameriprise Financial and to follow all other requirements under Ameriprise Financial's privacy policy. Independent Advisor also agrees that, in the event of Independent Advisor's incapacitation, abandonment of practice, or untimely death, Ameriprise Financial shall have the unrestricted right to enter the premises and seize all the materials referenced above.
- I. Independent Advisor agrees to immediately (1) discontinue use of any computer software developed for the System or Ameriprise Financial, (2) deliver to Ameriprise Financial all such computer software in Independent Advisor's possession or control and any copies made of such computer software, (3) erase or destroy any of such computer software contained in the computers or data storage devices under the control of Independent Advisor, and (4) remove such computer software from any other

computer programs or software in Independent Advisor's possession or control that incorporates or uses such computer software in whole or in part following the decommission procedure as described in the Manuals.

- J. Independent Advisor agrees to comply with the covenants contained in Section 19 ~~of this Agreement~~hereof.

19. COVENANTS

- A. Independent Advisor covenants that, during the term of this Agreement, Independent Advisor agrees to: (1) devote best efforts to the management and operation of the Independent Financial Advisor Business; and (2) except as otherwise approved in writing by Ameriprise Financial or after providing notice to Ameriprise Financial as specified in the Manuals, not be employed or engage in other business activities outside the Independent Financial Advisor Business.
- B. Independent Advisor specifically acknowledges that, pursuant to this Agreement, Independent Advisor will receive additional substantive rights as a franchisee of Ameriprise Financial. Independent Advisor also recognizes he or she will receive valuable and confidential information, including, without limitation, information regarding the operational, sales, promotional, and marketing methods and techniques of Ameriprise Financial and the System. In recognition of and in consideration for these and other benefits, to protect the confidentiality of Ameriprise Financial's Client information and to protect Ameriprise Financial's goodwill, Independent Advisor covenants that:
- (1) during the term of this Agreement Independent Advisor agrees to not, either directly or indirectly, for itself, or through, on behalf of, or in conjunction with any person or entity:
- a) encourage, assist, participate, induce, or attempt to encourage, assist, participate or induce any Client or prospective business or customer to terminate an agreement with Ameriprise Financial, Ameriprise Financial's affiliates, Issuers, or any financial advisor business under the System;
 - b) encourage, assist, participate, induce, or attempt to encourage, assist, participate or induce any Client or prospective business or customer to terminate, surrender, redeem, or cancel any action related to Products & Services acquired or ordered from or through Ameriprise Financial, Ameriprise Financial's affiliates, Issuers, or any financial advisor business under the System, except as provided in the Manuals or with Ameriprise Financial's written approval and consent;
 - c) solicit any Clients that Independent Advisor contacted, serviced or learned about while operating under this Agreement to open an account other than an Ameriprise Financial account or to sell any investment, financial or insurance products or services other than through Ameriprise Financial with Ameriprise Financial's written approval and consent;
 - d) open an account for, or provide or offer to provide any investment, financial, or insurance products or services to any Clients that Independent Advisor contacted, serviced or learned about while operating under this Agreement; and/or
 - e) encourage, induce, or attempt to encourage or induce or otherwise solicit any person who is employed by Ameriprise Financial or associated or affiliated with Ameriprise Financial as an Independent Advisor, independent contractor or agent to terminate their employment, association or other affiliation with Ameriprise Financial.
- (2) for one year after the expiration or termination of this Agreement, Independent Advisor agrees to not, either directly or indirectly, for itself, or through, on behalf of, or in conjunction with any person or entity:
- a) encourage, induce, or attempt to encourage or induce any Client that Independent Advisor contacted, serviced or learned about while operating under this Agreement to terminate an agreement with Ameriprise Financial, Ameriprise Financial affiliates, Issuers, or any financial advisor business under the System;
 - b) encourage, induce, or attempt to encourage or induce any Client that Independent Advisor contacted, serviced or learned about while operating under this Agreement, to terminate, surrender, redeem, or cancel any action related to Products & Services acquired or ordered from or through Ameriprise Financial, Ameriprise Financial's affiliates, Issuers, or any financial advisor business under the System, except as provided in the Manuals or with Ameriprise Financial's written approval and consent;

- c) solicit any Clients that Independent Advisor contacted, serviced or learned about while operating under this Agreement for the purpose of the Client opening an account other than an Ameriprise Financial account, purchasing investment, financial, or insurance products or services, purchasing any product or service, the type of which is offered by Ameriprise Financial, or purchasing any investment, financial or insurance products or services other than through Ameriprise Financial with Ameriprise Financial's written approval and consent; and/or
 - d) encourage, induce, or attempt to encourage or induce or otherwise solicit any person who is at that time employed by Ameriprise Financial or associated or affiliated with Ameriprise Financial as an Independent Advisor, independent contractor or agent to terminate their employment, association or other affiliation with Ameriprise Financial.
- (3) he or she will not disparage, during the term of this Agreement or thereafter, Ameriprise Financial, its affiliates, employees, advisors, and Products & Services.
~~affiliates, employees, advisors, and Products & Services.~~

For purposes of this Section, an "Issuer" is a company or entity that issues Products & Services distributed or offered by Ameriprise Financial, Ameriprise Financial's affiliates, or Ameriprise Financial as the agent of another company.

- C. Independent Advisor understands and acknowledges that if Independent Advisor terminates this Agreement, Ameriprise Financial shall have the right to continue to actively offer all Products & Services to Clients ~~the~~ Independent Advisor serviced at Ameriprise Financial.
- D. Upon expiration of this Agreement, Independent Advisor may have a right to revenue based on past Products & Services that have been purchased by Clients through the Independent Financial Advisor Business, as provided for in the Manuals, or otherwise with Ameriprise Financial's approval and consent.
- E. Independent Advisor ~~understands and~~ acknowledges and agrees that Ameriprise Financial shall have the right, in its sole discretion, to reduce the scope or restrictiveness of any covenant set forth above, or any portion thereof, without Independent Advisor's consent, effective immediately upon receipt by Independent Advisor of written notice thereof; and Independent Advisor agrees that it shall comply forthwith with any covenant as so modified, which shall be fully enforceable notwithstanding the provisions of Section 24 hereof. Independent Advisor agrees and understands that Ameriprise Financial's exercise of such discretion, as to the Independent Advisor who is the subject of this Agreement, or of any other Independent Advisor, shall not constitute a waiver of any of Ameriprise Financial's right to enforce this or any other agreements.
- F. Independent Advisor expressly agrees that the existence of any claims ~~it~~ Independent Advisor may have against Ameriprise Financial, whether or not arising from this Agreement, shall not constitute a defense to the enforcement by Ameriprise Financial of the covenants in this Section 19.

At Ameriprise Financial's request, Independent Advisor agrees to obtain and furnish to Ameriprise Financial executed covenants similar in substance to those set forth in this Section 19 and, at the Independent Advisor's discretion, Addendum No. 3 (including covenants applicable upon the termination of a person's relationship with Independent Advisor and the provisions of Section 10 of this Agreement) from personnel (identified in the Manuals) employed or retained as an independent contractor by Independent Advisor or his or her agent. Every covenant required by this Section shall be in a form approved by Ameriprise Financial, including, without limitation, specific identification of Ameriprise Financial as a third-party beneficiary of such covenants with the independent right to enforce them.

- G. Independent Advisor agrees that to the fullest extent permitted by applicable law, Ameriprise Financial will be entitled to injunctive relief from a court or FINRA arbitration should Independent Advisor violate any of the covenants in this Section 19 and the provisions in Sections 10 and 18 (the "Sections") of this Agreement. Independent Advisor recognizes that Ameriprise Financial's remedies solely at law will be inadequate, that Ameriprise Financial will be irreparably harmed by violations of the provisions in the Sections, and thus that Ameriprise Financial will be entitled to injunctive relief to prevent future violations of the provisions in the Sections until a full and final resolution of any dispute may be had on the merits. If Independent Advisor has signed Addendum No. 3 but fails to comply with it, Ameriprise Financial shall be entitled to immediate injunctive relief to enforce at Ameriprise Financial's option, the covenants in Section 19, including 19B (1) and (2) Ameriprise Financial has the right to seek such injunctive relief in a court of competent jurisdiction, which relief shall extend until, and if, a decision

on the merits of the same issue is rendered by a FINRA arbitration panel. Such election by Ameriprise Financial to seek judicial relief shall not waive any rights Ameriprise Financial may have to arbitrate disputes arising under this Agreement, including rights to obtain damages from Independent Advisor in arbitration for violations of this Agreement.

- H. Nothing in this Agreement will prevent Independent Advisor from engaging in a competitive business consistent with the covenants in this Section 19, including serving as a ~~consultant or~~ financial advisor ~~or consultant~~ affiliated with another firm, after this Agreement expires or is terminated. Nothing in this Agreement will prohibit Independent Advisor from servicing and soliciting ~~and servicing~~ any Clients that Independent Advisor contacted, ~~serviced or~~ learned about or serviced while operating under an agreement with Ameriprise Financial more than one year after this Agreement ~~terminates or expires or is terminated~~, provided that Independent Advisor makes no use directly or indirectly of any confidential or trade secret information, including but not limited to 1 client files and lists obtained from Ameriprise Financial.
- I. Upon Independent Advisor's request, Ameriprise Financial may 1 in its ~~complete~~sole discretion 1 release Independent Advisor from any provisions in this Section 19, in whole or in part, for example to exclude specified family members from the provisions in this Section 19. Such requests by Independent Advisor must be in writing and any release to Independent Advisor must be provided in writing and signed by an officer of Ameriprise Financial. Any such release shall not act as a waiver of any other rights of Ameriprise ~~Financial's rights~~Financial under this Agreement as such rights apply to any other Independent Advisor.
- J. In accordance with Section 10 ~~of this Agreement~~hereof, all Clients shall be deemed Clients of Ameriprise Financial and not any individual Independent Advisor. ~~None the less~~Nonetheless, Independent Advisor shall have the opportunity, consistent with Section 14, to transfer ~~their~~Independent Advisor's interest in this Agreement, including the right to receive compensation, as more fully described in Section 14.
- K. Ameriprise Financial agrees that Clients set forth on Exhibit 1 to Addendum 3-V as of the date of execution of this Agreement (or within 14 days thereafter), if any, are not subject to Section 19B.(1) and (2).
- L. Ameriprise Financial and Independent Advisor agree that nothing in this Section 19 is intended to interfere with FINRA Rule 2110-7 (Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes) or any future modifications to that Rule.
- M. Independent Advisor agrees and covenants to comply with all of Ameriprise Financial's policies, including the client privacy policy, and not take any action inconsistent with said policies while affiliated with Ameriprise Financial, or thereafter.
- N. Subject to State Law. All provisions in Section 19 are subject to state law.

20. TAXES, PERMITS, AND INDEBTEDNESS

Independent Advisor agrees to promptly pay when due all taxes levied or assessed, including 7 without limitation, unemployment and sales taxes, and all accounts and other indebtedness of every kind incurred by Independent Advisor in ~~the operation of~~operating the Independent Financial Advisor Business. Independent Advisor agrees to pay to Ameriprise Financial an amount equal to any sales tax, gross receipts tax 7 or similar tax (other than income tax) imposed on Ameriprise Financial with respect to any payments to Ameriprise Financial required under this Agreement, unless the tax is credited against income tax otherwise payable by Ameriprise Financial.

- A. In the event of any bona fide dispute as to Independent Advisor's liability for taxes assessed or other indebtedness, Independent Advisor may contest the validity or the amount of the tax or indebtedness in accordance with procedures of the taxing authority or applicable law, but in no event shall Independent Advisor permit a tax sale or seizure by levy or execution or similar writ or warrant, or attachment by a creditor, to occur against the Premises of the Independent Financial Advisor Business, or any improvements thereon.

21. INDEPENDENT CONTRACTOR AND INDEMNIFICATION

- A. This Agreement does not create a fiduciary duty on behalf of Ameriprise Financial to ~~the~~ Independent Advisor. Independent Advisor agrees to be an independent contractor, and nothing in this Agreement is intended to constitute Ameriprise Financial as an agent, employee, legal representative, subsidiary, joint venturer, partner, ~~employee, or~~ servant or subsidiary ~~of the~~ Independent Advisor for any purpose

whatsoever.

- B. During the term of this Agreement, Independent Advisor agrees to hold himself or herself out to the public as an independent contractor operating the Independent Financial Advisor Business. Independent Advisor agrees to take such action as may be necessary to do so, including, without limitation, exhibiting a notice of that fact in a conspicuous place at the Premises, the content of which Ameriprise Financial reserves the right to specify. Nothing in this Agreement authorizes Independent Advisor to make any ~~contract, agreement, warranty, or contract~~, representation or warranty on Ameriprise Financial's behalf, or to incur any debt or other obligation in Ameriprise Financial's name; and Ameriprise Financial agrees to in no event assume liability for, or be deemed liable hereunder as a result of, any such action; nor shall Ameriprise Financial be liable by reason of any act or omission of Independent Advisor in his or her operation of the Independent Financial Advisor Business or for any claim or judgment arising therefrom against Independent Advisor or Ameriprise Financial.
- C. To the extent permitted by law, Independent Advisor agrees to indemnify and hold harmless Ameriprise Financial ~~and~~, its affiliates, and their respective officers, directors, ~~agents~~, employees, agents, successors, and assigns ~~(the "Indemnitees")~~, against any and all causes of action, claims, demands, liabilities, losses, damages, actions, litigation or other expenses (including, but not limited to, interest, costs of investigation, settlement costs, and attorneys' attorney's fees) arising out of or relating to Independent Advisor's establishment or operation of the Independent Financial Advisor Business, except for any claim based solely on the gross negligence or willful misconduct ~~or gross negligence~~ of Ameriprise Financial or its officers, ~~agents and~~ employees, and agents or based solely on nonperformance by Ameriprise Financial of its obligations hereunder. Independent Advisor agrees that with respect to any threatened or actual litigation, proceeding or dispute which could directly or indirectly affect any of the Indemnitees, the Indemnitees shall have the right, but not the obligation, to: (1) choose counsel, (2) control, direct, ~~manage~~ and/or control manage the handling of the matter; and (3) settle on behalf of the Indemnitees, and/or Independent Advisor, any claim against the Indemnitees in their sole discretion. All vouchers, canceled checks, receipts, receipted bills or other evidence of payments for any such losses, liabilities, costs, damages, charges or expenses of whatsoever nature incurred by any Indemnitee shall be taken as prima facie evidence of Independent Advisor's obligation hereunder. Ameriprise Financial may require Independent Advisor to reimburse Ameriprise Financial for all expenses (including attorneys' attorney's fees and interest) reasonably incurred by Ameriprise Financial to enforce the terms of this Agreement ~~or~~, any obligation owed by Independent Advisor to Ameriprise Financial under this Agreement or otherwise, including, without limitation, Independent Advisor's indemnification obligations.

22. APPROVALS AND WAIVERS

- A. Whenever this Agreement requires the consent or prior approval ~~or consent~~ of Ameriprise Financial, Independent Advisor agrees to make a timely written request to Ameriprise Financial therefor, and such consent or prior approval ~~or consent~~ must be obtained in writing from an officer of Ameriprise Financial. Ameriprise Financial will respond to such requests within a timeframe reasonable under the circumstances.
- B. Ameriprise Financial makes no guarantees or warranties ~~or guarantees~~ upon which Independent Advisor may rely, and assumes no liability or obligation to Independent Advisor, by providing any ~~waiver~~, approval, consent, ~~or suggestion~~ or waiver to Independent Advisor in connection with this Agreement, or by reason of any ~~neglect~~, delay, ~~or denial~~ or neglect of any request therefor.
- C. No failure of Ameriprise Financial to exercise any power reserved to it by this Agreement, or to insist upon strict compliance by Independent Advisor with any obligation or condition hereunder, and no custom or practice of the parties at variance with the terms hereof, shall constitute a waiver of Ameriprise Financial's right to demand exact compliance with any of the terms hereof. Waiver by Ameriprise Financial of any particular default of Independent Advisor shall not affect or impair Ameriprise Financial's rights with respect to any subsequent default of the same, similar, or different nature; nor shall any delay, forbearance, or omission of Ameriprise Financial to exercise any power or right arising out of any breach of default by Independent Advisor of any of the terms, provisions, or covenants hereof, affect or impair Ameriprise Financial's right to exercise the same, nor shall such constitute a waiver by Ameriprise Financial of any right hereunder, or the right to declare any subsequent breach or default and to terminate this Agreement prior to the expiration of its term. Subsequent acceptance by Ameriprise Financial of any payments due to it hereunder shall not be

deemed to be a waiver by Ameriprise Financial of any preceding breach by Independent Advisor of any terms, covenants, or conditions of this Agreement.

23. NOTICES

Unless otherwise ~~noted~~indicated, any and all notices required or permitted under this Agreement shall be in writing and shall be: personally delivered; sent by electronic notice, including email; sent by facsimile/telecopier (if confirmed by mail); mailed by certified mail, return receipt requested; or dispatched by overnight delivery envelope, to the respective parties at the following addresses, unless and until a different address has been designated by written notice to the other party or specifically required herein:

Notices to Ameriprise Financial:

Ameriprise Financial Services, LLC
1523 Ameriprise Financial Center
Minneapolis, Minnesota 55474

Notices to Independent Advisor will be made to ~~the~~ Independent Advisor's preferred business address on record at Ameriprise ~~Financial~~Financial's corporate office.

Any notice by a means which affords the sender evidence of delivery or rejected delivery shall be deemed to have been given and received at the date and time of receipt or rejected delivery. Any notice of a revision to the ~~Manual~~Manuals may be made by revising the Manuals and notifying Independent ~~Advisors~~Advisor of such revisions by any reasonable means.

24. ENTIRE AGREEMENT

- A. This Agreement and the attachments hereto, constitute the entire Agreement between Ameriprise Financial and Independent Advisor concerning the subject matter hereof, and supersede all prior and contemporaneous agreements, negotiations, and representations (~~oral and~~ written-and-oral), no other representations having induced Independent Advisor to execute this Agreement. No party is relying on any agreement or representation, or is bound by any other agreement or obligation concerning the subject matter of this Agreement that is not expressly set forth herein. Except for those permitted to be made unilaterally by Ameriprise Financial hereunder, no amendment, change, or variance from this Agreement shall be binding on either party unless mutually agreed to by the parties and executed in writing by ~~their~~the parties' authorized officers or agents ~~in writing~~. Nothing in this Agreement is intended to disclaim any representations that Ameriprise Financial made in the Franchise Disclosure Document ~~that~~ Ameriprise Financial provided to Independent Advisor.
- B. Ameriprise Financial has the right to operate, develop, and change the System in any manner that is not specifically precluded by this Agreement. Whenever Ameriprise Financial has reserved in this Agreement a right to take or withhold an action, or to grant or decline to grant Independent Advisor a right to take or omit an action, except as otherwise expressly provided in this Agreement, Ameriprise Financial may make its decision or exercise its rights on the basis of the information readily available to Ameriprise Financial, and Ameriprise Financial's judgment of what is in its best interests and/or in the best interests of the System, at the time Ameriprise Financial's decision is made shall be deemed to be reasonable and enforceable, without regard to whether other reasonable or even arguably preferable alternative decisions could have been made by Ameriprise Financial and without regard to whether Ameriprise Financial's decision or the action Ameriprise Financial takes promotes Ameriprise Financial's financial or other individual interest.

25. SEVERABILITY AND CONSTRUCTION

If, for any reason, any section, part, term, provision, and/or covenant herein is determined to be invalid and contrary to, or in conflict with, any existing or future law or regulation by a court or agency having valid jurisdiction, such shall not impair the operation of, or have any other effect upon, such other portions, sections, parts, terms, provisions, and/or covenants of this Agreement as may remain otherwise intelligible; and the latter shall continue to be given full force and effect and bind the parties hereto; and said invalid portions, sections, parts, terms, provisions, and/or covenants shall be deemed not to be a part of this Agreement.

- A. Any provision or covenant in this Agreement which expressly or by its nature imposes obligations beyond the expiration, termination, or assignment of this Agreement (regardless of cause for termination) shall survive such expiration, termination, or assignment, including but not limited to Sections 10, 19, 21,

and 26.

- B. Independent Advisor expressly agrees to be bound by any ~~promise or~~ covenant imposing the maximum duty permitted by law which is subsumed within the terms of any provision hereof, as though it were separately articulated in and made a part of this Agreement, that may result from striking from any of the provisions hereof any portion or portions which a court, regulator, or agency having valid jurisdiction may hold to be unreasonable and unenforceable in an unappealed final decision to which Ameriprise Financial is a party, or from reducing the scope of any promise or covenant to the extent required to comply with such a court, regulator, or agency order.
- C. If the performance of any obligation by Ameriprise Financial under this Agreement is prevented, hindered, or delayed by reason of Force Majeure, which cannot be overcome by reasonable commercial measures, Ameriprise Financial shall be relieved of any such obligation during the period of such Force Majeure. In such event, Ameriprise Financial shall give Independent Advisor written notice of the Force Majeure occurrence and an estimate as to its duration. As used in this Agreement, the term "Force Majeure" shall include, but not be limited to, any act of God; acts of terrorism or war (declared or undeclared); riots or other social disturbances; strikes, lock-outs, or other industrial disturbances; failure or degradation of telecommunications or internet services; fires, floods, earthquakes, or other natural occurrences; epidemics; and any other circumstance outside of Ameriprise Financial's control.

26. APPLICABLE LAW

- A. THIS AGREEMENT SHALL BE INTERPRETED AND CONSTRUED EXCLUSIVELY UNDER THE LAWS OF THE STATE OF MINNESOTA, EXCLUDING THE FRANCHISE LAW OF THE STATE OF MINNESOTA UNLESS IT APPLIES BY ITS TERMS. IN THE EVENT OF ANY CONFLICT OF LAW, THE LAWS OF MINNESOTA SHALL PREVAIL, WITHOUT REGARD TO THE APPLICATION OF MINNESOTA CONFLICT OF LAW RULES; EXCEPT THAT ALL ISSUES RELATING TO ARBITRABILITY OR THE ENFORCEMENT OF THIS AGREEMENT TO ARBITRATE HEREIN CONTAINED SHALL BE GOVERNED BY THE TERMS SET FORTH IN THIS AGREEMENT, AND TO THE EXTENT NOT INCONSISTENT WITH THIS AGREEMENT, BY THE RULES OF ARBITRATION OF FINRA. NOTHING IN THIS SECTION IS INTENDED BY THE PARTIES TO SUBJECT THIS AGREEMENT TO THE MINNESOTA FRANCHISE ACT OR ANY FRANCHISE OR SIMILAR STATUTE, RULE, OR REGULATION OF THE STATE OF MINNESOTA.
- B. NO RIGHT OR REMEDY CONFERRED UPON OR RESERVED TO AMERIPRISE FINANCIAL OR INDEPENDENT ADVISOR BY THIS AGREEMENT IS INTENDED TO BE, NOR SHALL BE DEEMED, EXCLUSIVE OF ANY OTHER RIGHT OR REMEDY HEREIN OR BY LAW OR EQUITY PROVIDED OR PERMITTED, BUT EACH SHALL BE CUMULATIVE OF EVERY OTHER RIGHT OR REMEDY.
- C. AMERIPRISE FINANCIAL AND INDEPENDENT ADVISOR IRREVOCABLY WAIVE TRIAL BY JURY IN ANY ACTION, PROCEEDING, OR COUNTERCLAIM, WHETHER AT LAW OR IN EQUITY, BROUGHT BY EITHER OF THEM AGAINST THE OTHER, WHETHER OR NOT THERE ARE OTHER PARTIES IN SUCH ACTION OR PROCEEDING, EXCEPT AS OTHERWISE AGREED.
- D. AMERIPRISE FINANCIAL AND INDEPENDENT ADVISOR HEREBY WAIVE TO THE FULLEST EXTENT PERMITTED BY LAW, ANY RIGHT TO, OR CLAIM OF, ANY PUNITIVE OR EXEMPLARY DAMAGES AGAINST THE OTHER AND AGREE THAT IN THE EVENT OF A DISPUTE BETWEEN THEM, EACH SHALL BE LIMITED TO THE RECOVERY OF ANY ACTUAL DAMAGES SUSTAINED BY IT.
- E. NOTHING ~~HEREIN~~ CONTAINED ~~HEREIN~~ SHALL BAR AMERIPRISE FINANCIAL'S RIGHT TO OBTAIN INJUNCTIVE RELIEF AGAINST CONDUCT OR THREATENED CONDUCT THAT: (1) WILL CAUSE IT LOSS OR DAMAGE ~~OR~~; (2) VIOLATES THE TERMS OF ~~SPECIAL REGULATORY~~ ADDITIONAL SUPERVISION; OR (3) IS IN VIOLATION OF AMERIPRISE FINANCIAL'S OBLIGATION TO COMPLY FULLY WITH GOVERNMENT AGENCY LAWS OR REGULATIONS UNDER THE USUAL EQUITY RULES, INCLUDING THE APPLICABLE RULES FOR OBTAINING SPECIFIC PERFORMANCE, RESTRAINING ORDERS, AND PRELIMINARY INJUNCTIONS.

27. ARBITRATION

- A. Except as provided in Section 27E, ~~Independent Advisor and hereof~~, Ameriprise Financial and Independent Advisor agree to arbitrate any dispute, claim or controversy that may arise between ~~Independent Advisor and Ameriprise Financial~~ and Independent Advisor or a customer or any other person ("Claims"), unless otherwise agreed to in writing by ~~the Independent Advisor and Ameriprise Financial~~ and Independent Advisor. To the extent that such Claims are required or allowed to be arbitrated under the rules, constitutions, or by-laws of ~~the~~ FINRA, as amended from time to time, they will be arbitrated in accordance with the policies and procedures established by ~~the~~ FINRA.

- B. If either ~~the~~ FINRA declines to administer ~~an~~ arbitration of any Claims or ~~the~~ FINRA rules do not allow for arbitration of any Claims, ~~the Independent Advisor and~~ Ameriprise Financial and Independent Advisor agree that the Claims shall be finally decided by arbitration conducted pursuant to the Commercial Dispute Resolution Procedures of the American Arbitration Association (“AAA”), and its Supplementary Rules for Securities Arbitration, or other applicable rules promulgated by the AAA. In addition, ~~Independent Advisor and~~ Ameriprise Financial and Independent Advisor specifically agree that all Claims, statutory or otherwise, which allege discrimination or ~~other~~ violation of employment laws, including but not limited to, claims of sexual harassment, shall be finally decided by arbitration pursuant to the AAA unless otherwise agreed to in writing by Ameriprise Financial and the Independent Advisor ~~and Ameriprise Financial~~.
- C. By written agreement of ~~the Independent Advisor and~~ Ameriprise Financial in writing and Independent Advisor, disputes may be resolved in arbitration by a mutually agreed-upon organization other than ~~the AAA or FINRA or the AAA~~.
- D. In consideration of the promises and the compensation provided in this Agreement, neither ~~Independent Advisor nor~~ Ameriprise Financial nor Independent Advisor shall have a right ~~(a: (1) to arbitrate any Claim~~ Claims on a class or multi-party action basis or in a purported representative capacity on behalf of any Independent Advisors, employees, applicants or other persons similarly situated; ~~(b2) to join or to consolidate Claims or join in an arbitration Claims~~ brought by or against another Independent Advisor, employee, applicant or Ameriprise Financial, unless otherwise agreed to in writing by ~~Independent Advisor and~~ Ameriprise Financial; ~~(c and Independent Advisor; (3) to litigate any Claims in court, except as provided below in Section 27E hereof or to have a jury trial on any Claims; and (d4) to participate in a representative capacity or as a member of any class of claimants in an action in a court of law pertaining to any Claims. Nothing in this Agreement relieves Independent Advisor or Ameriprise Financial or Independent Advisor from any obligation Independent Advisor or Ameriprise Financial or Independent Advisor may have to exhaust certain administrative remedies before arbitrating any claims or disputes under this Policy Agreement.~~
- E. Except as provided in this Section 27E, either ~~Independent Advisor or~~ Ameriprise Financial or Independent Advisor may compel arbitration of any Claims filed in a court of law. In addition, either ~~Independent Advisor or~~ Ameriprise Financial or Independent Advisor may apply to a court of law for immediate injunctive relief, or other temporary or emergency relief, as allowed by FINRA rules or otherwise described in Section 19H hereof.
- F. Any award by an arbitration panel shall be final and binding upon ~~the Independent Advisor and~~ Ameriprise Financial and Independent Advisor. Judgment upon the award may be entered by any court having jurisdiction thereof or having jurisdiction over the relevant party or its assets.
- G. This Agreement to arbitrate is governed by and enforceable under the terms of the Federal Arbitration Act.
- H. Any Claims arising out of or related to this Agreement that are not subject to arbitration as provided in this Section 27 hereof, will be brought exclusively in the Federal District Court for the District of Minnesota or in Hennepin County District Court in Minneapolis, Minnesota. Ameriprise Financial also has the right to file any such action against Independent Advisor in the federal or state court where the registered office is located. Each of Ameriprise Financial and Independent Advisor irrevocably consents to the jurisdiction of such courts and waives all rights to challenge personal jurisdiction and venue. The provisions of this Section 27(H) will survive termination of this Agreement.

28. ACKNOWLEDGMENTS

- A. INDEPENDENT ADVISOR ACKNOWLEDGES THAT HE OR SHE HAS CONDUCTED AN INDEPENDENT INVESTIGATION OF THE INDEPENDENT FINANCIAL ADVISOR BUSINESS, AND RECOGNIZES THAT THE BUSINESS VENTURE CONTEMPLATED BY THIS AGREEMENT INVOLVES SIGNIFICANT BUSINESS RISKS AND THAT HIS OR HER SUCCESS WILL BE LARGELY DEPENDENT UPON THE ABILITY OF INDEPENDENT ADVISOR AS AN INDEPENDENT BUSINESSPERSON. AMERIPRISE FINANCIAL EXPRESSLY DISCLAIMS THE MAKING OF, AND INDEPENDENT ADVISOR ACKNOWLEDGES THAT HE OR SHE HAS NOT RECEIVED, ANY WARRANTY OR GUARANTEE, EXPRESS OR IMPLIED, AS TO THE POTENTIAL VOLUME, PROFITS, OR SUCCESS OF THE BUSINESS VENTURE CONTEMPLATED BY THIS AGREEMENT.

INDEPENDENT ADVISOR ACKNOWLEDGES THAT HE OR SHE RECEIVED A COMPLETE COPY OF THIS AGREEMENT, THE ATTACHMENTS HERETO, AND AGREEMENTS RELATING THERETO, IF ANY, AT LEAST

SEVEN (7) CALENDAR DAYS PRIOR TO THE DATE ON WHICH THIS AGREEMENT WAS EXECUTED (EXCLUSIVE OF THE DAY ~~I~~ INDEPENDENT ADVISOR RECEIVED THE ~~DOCUEMENT~~ DOCUMENT AND THE DAY ~~I~~ INDEPENDENT ADVISOR SIGNED THIS AGREEMENT). INDEPENDENT ADVISOR FURTHER ACKNOWLEDGES THAT ~~IF THE OR SHE~~ RECEIVED THE DISCLOSURE DOCUMENT REQUIRED BY THE TRADE REGULATION RULE OF THE FEDERAL TRADE COMMISSION ENTITLED "DISCLOSURE REQUIREMENTS AND PROHIBITIONS CONCERNING FRANCHISING AND BUSINESS OPPORTUNITY VENTURES" AT LEAST FOURTEEN (14) CALENDAR DAYS PRIOR TO THE DATE ON WHICH THIS AGREEMENT WAS EXECUTED (EXCLUSIVE OF THE DAY INDEPENDENT ADVISOR RECEIVED THE DOCUMENT AND THE DAY INDEPENDENT ADVISOR SIGNED THIS AGREEMENT).

~~(14) CALENDAR DAYS PRIOR TO THE DATE ON WHICH THIS AGREEMENT WAS EXECUTED (EXCLUSIVE OF THE DAY I RECEIVED THE DOCUEMENT AND THE DAY I SIGNED THIS AGREEMENT).~~

B. INDEPENDENT ADVISOR ACKNOWLEDGES THAT HE OR SHE HAS READ AND ~~UNDERSTOOD~~ UNDERSTANDS THIS AGREEMENT, THE ATTACHMENTS HERETO, AND AGREEMENTS RELATING THERETO, IF ANY, AND THAT AMERIPRISE FINANCIAL HAS ~~ACCORDED~~ AFFORDED INDEPENDENT ADVISOR AMPLE ~~TIME AND~~ OPPORTUNITY AND TIME TO CONSULT WITH ADVISORS OF INDEPENDENT ADVISOR'S OWN CHOOSING ABOUT THE POTENTIAL BENEFITS AND RISKS OF ENTERING INTO THIS AGREEMENT.

C. INDEPENDENT ADVISOR ACKNOWLEDGES AND UNDERSTANDS THE IMPORTANCE OF OPERATING THE INDEPENDENT FINANCIAL ADVISOR BUSINESSES IN A MANNER WHICH MEETS AMERIPRISE FINANCIAL'S HIGH STANDARDS OF QUALITY ADVICE AND CUSTOMER SERVICE, TO PROTECT THE INTEGRITY AND VALUE OF THE SYSTEM, AND ALL THE INDEPENDENT FINANCIAL ADVISOR BUSINESSES.

IN WITNESS WHEREOF, the Parties hereto have duly executed this Agreement on the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

SCHEDULE A

Independent Financial Advisor

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Business Office Location(s):

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**ADDENDUM TO
THE AMERIPRISE FINANCIAL SERVICES, LLC
INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT
SUPERVISION AGREEMENT**

Ameriprise Financial Services, LLC (“Ameriprise Financial”) and Independent Advisor are parties to the Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement ~~(the “Agreement”)~~ and hereby agree as follows:

1. ~~Addendum to~~ Supplement to Agreement. This Addendum to the Agreement (“Addendum”) shall supplement the terms of the Agreement. In the event of any inconsistency between this Addendum and the Agreement, this Addendum shall control.
2. Scope of Addendum. This Addendum defines the compliance related responsibilities of Independent Advisor and the fees to be paid for compliance supervision.
~~and the fees to be paid.~~
3. Supervision. Independent Advisor agrees that in order to operate the Independent Financial Advisor Business, he or she must be supervised for compliance purposes at all times. Ameriprise Financial will designate an individual and/or team in the field and/or corporate office to serve as Registered Principal for the Independent Advisor to perform compliance supervision functions in accordance with all applicable regulatory and statutory requirements, the Ameriprise Financial Manuals, and applicable Ameriprise Financial policies. Independent Advisor expressly understands that applicable regulatory and statutory requirements, as well as the Ameriprise Financial Manuals, and applicable Ameriprise Financial policies, might be amended during the course of this Agreement; Independent Advisor shall nonetheless comply with all such amendments or changes.
4. Fees. Independent Advisor agrees to pay for compliance supervision in the amount specified in the Supervision Fee Grid in the Manuals, which is subject to change from time-to-time. The Supervision Fee Grid shows the method of calculating supervisory fees and general allocation of those fees. Fees paid pursuant to this Addendum will be deducted from Independent Advisor’s Commission Statement by Ameriprise Financial each Accounting Period. Independent Advisor may access current Registered Principal assignments and ~~fees~~Supervision Fee Grid through Ameriprise Financial’s computer system and/or the Manuals.
5. Termination. This Addendum may be terminated by Ameriprise Financial with or without cause at any time and for any reason. Even in the absence of a termination by Ameriprise Financial, this Addendum will nonetheless automatically terminate in the event of Independent Advisor’s:
 - i. Death or retirement;
 - ii. Total and permanent disability;
 - iii. Cancellation or non-renewal of any license, registration or bond required by the states, the FINRA, SEC or Ameriprise Financial;
~~Ameriprise Financial;~~
 - iv. Violation of any provision of the Agreement or this Addendum; and/or
 - v. Termination of the Independent Advisor’s Agreement.

If Independent Advisor terminates this Addendum, Ameriprise Financial may, at its sole discretion, suspend or terminate Independent Advisor’s right to do business under the Agreement.

6. Miscellaneous.
 - A. Except as provided in Section 3 above, this Addendum may be amended only by a written amendment signed by the parties and executed by their authorized officers or agents.
 - B. If Ameriprise Financial waives any provision of this Addendum, the waiver applies only to that provision, not to any other part of the Addendum.
 - C. If the laws of any state prohibit any provision of this Addendum, the laws apply only to that provision. They do not invalidate the remaining portion of the Addendum.
 - D. All capitalized terms not otherwise defined in the Addendum shall have the same meaning as in the Agreement.

7. Effective Date. In witness of the provision of this Addendum as described above, the parties have entered into this Addendum in duplicate with the understanding that it becomes effective on_____.

~~IN WITNESS WHEREOF, the parties hereto have duly executed this Addendum on the date first above written.~~

IN WITNESS WHEREOF, the Parties hereto have duly executed this Addendum on the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By:_____

By:_____

Name:_____

Name:_____

Title:_____

Title:_____

Date:_____

Date:_____

Social Security No.:_____

Advisor No.:_____

**ADDENDUM TO
THE AMERIPRISE FINANCIAL SERVICES, LLC
INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT
REGISTERED PRINCIPAL AGREEMENT**

Ameriprise Financial Services, LLC (“Ameriprise Financial”) and Independent Advisor are parties to the Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement ~~(the “Agreement”)~~ and hereby agree as follows:

1. Supplement to Agreement. This Addendum to the Agreement (“**Addendum**”) shall supplement the terms of the Agreement and shall supersede all previous agreements and addendums relating to Registered Principal activities. In the event of any inconsistency between this Addendum and the Agreement, this Addendum shall control.
2. Scope of Addendum. This Addendum defines Independent Advisor’s relationship with Ameriprise Financial as a Registered Principal and in setting forth such relationship in this Addendum, Independent Advisor shall be referred to as the Registered Principal (the “**Registered Principal**”), “you”, or “your” in this Addendum.
3. Undertakings by Registered Principal. You will serve as a Registered Principal for independent advisors and perform these functions in accordance with all applicable regulatory and statutory requirements, the Ameriprise Financial Manuals, and applicable Ameriprise Financial policies. It is expressly understood that applicable regulatory and statutory requirements, as well as the Ameriprise Financial Manuals, and applicable Ameriprise Financial policies, ~~might~~ may be amended during the course of this Agreement. Registered Principal shall nonetheless comply with all such amendments or changes.
 - A. The regulatory activities as more fully described in the Manuals include, but are not limited to, the compliance supervision with specific regulatory requirements as listed below:
 - Proactively work with advisors to support their effort to run a compliant practice. This includes:
 - Conducting and documenting ongoing 1:1 interactions
 - Providing feedback and documenting observations related to the advisor’s sales activity and suitability of the advisor’s recommendations
~~of the advisor’s recommendations~~
 - Inspecting all registered offices under your supervision pursuant to company policy
 - Administering Consequence Management according to processes when appropriate
 - Coaching advisors on supervisory policies and procedures
 - Acting as the main resource for advisors on compliance tasks
 - Validating appropriate advisor training is taking place
 - Proactively detect violations of policy or procedure through:
 - Responding to corporate requests to review advisor activity
 - Making client calls
 - Analyzing reports and other metrics
 - As prescribed by the Written Supervisory Procedures, completely and accurately review, follow-up on and sign-off or reject advisor activity
 - Identify and provide response to issues identified by corporate office business partners. This includes:
 - Working with the CSU and Compliance on escalated issues and correction action plans (CAPs)
 - Working with Compliance on complaints/investigations
 - Working with Legal on investigations
 - Resolving issues identified in field office inspections (CTAs)
 - Comply with record keeping processes, required use of certain technology tools and systems, and other duties as may be assigned from time to time
 - B. You understand and agree to satisfy the requirements of being a Registered Principal as set forth in the Ameriprise Financial Manuals, and as set forth under applicable Ameriprise Financial policies.

Failure to do so may result in termination of this Addendum and/or a default of your Agreement.

- C. As provided in the Manuals, you will provide at your own expense, adequate systems sufficient to perform the functions described in the Ameriprise Financial Manuals necessary to supervise Independent Advisors assigned to you. You may elect to delegate, at your own expense, certain specified compliance supervision functions to qualified support personnel compliant with Ameriprise Financial Manuals and policies. You understand and agree that you will remain responsible for ensuring the quality and timeliness of all such functions delegated.
 - D. You agree and understand you must maintain an OSJ within the Region you supervise.
 - E. You may independently provide compliance supervision in accordance with the Registered Principal/ Independent Advisor ratios set forth in the applicable Ameriprise Financial Manuals or as otherwise approved by Ameriprise Financial. To the extent your provision of such services exceeds the approved ratios, you will be required to secure the services of individuals, approved by Ameriprise Financial and as set forth in the Ameriprise Financial Manuals, to provide or assist in the provision of those services, such that the ratios meet the designated requirements. To the extent you hire, at your own expense, one or more delegate(s), the delegate shall be your own employee, and not be an employee of Ameriprise Financial, and you are required to obtain covenants from that employee in accordance with Section 19 of the Agreement. Likewise, to the extent you use a delegate to provide compliance supervision, you are solely responsible for the creation and maintenance of a contractual relationship with that individual. Each delegate shall be approved in advance by Ameriprise Financial and must execute the appropriate agreements required by Ameriprise Financial.
 - F. You agree and understand that you, and all your employees, delegates, and contractors, are required to comply with all privacy requirements set forth both by applicable state and federal laws, as well as Ameriprise Financial's own policies and procedures.
 - G. You agree and understand that you and your employees and delegates must strictly comply with the Ameriprise Financial Global Code of Conduct, especially given that you, your employees and delegates will have unique access to sensitive information regarding other Ameriprise Financial advisors. By way of example, to the extent that an advisor seeks input from you related to a potential practice sale or acquisition, you should immediately notify the advisor if you may have a personal interest in the transaction. Failure to conduct yourself in accordance with the Code of Conduct could result in consequences up to and including termination of this Addendum and/or termination of your Agreement.
4. Compensation. You agree to perform the services described in this Addendum for an amount as allocated to you determined by the Supervision Fee Grid contained in the Manuals. This amount will be paid by Ameriprise Financial to you each Accounting Period excluding the third accounting period in any given month. Fees paid pursuant to this Addendum will constitute payment in full for all services rendered under this Addendum unless otherwise communicated to you in writing. Any expenses in rendering such services will be paid by you unless the contrary is specifically authorized in writing.
5. Termination. This Addendum may be terminated by Ameriprise Financial with or without cause at any time and for any reason. You may terminate this Addendum upon fourteen (14) days' written notice to Ameriprise Financial in accordance with Section 23 of the Agreement, with a copy to be delivered to your Senior Regional Risk Manager (SRRM) or SRRM designate. Even in the absence of a termination by Ameriprise Financial, this Addendum automatically terminates in the event of Registered Principal's:
- i. Death or retirement;
 - ii. Total and permanent disability;
 - iii. Cancellation or nonrenewal of any license, registration or bond you are required to have by the states, the FINRA, SEC or the Agreement;
 - iv. Failure to maintain the Registered Principal requirements;
 - v. Violation of any provision of this Addendum or the Agreement; or
 - vi. Voluntary or involuntary termination of your Agreement.
6. Termination Claims. Upon termination or expiration of this Addendum, you will have no claim against Ameriprise Financial for profits, anticipated profits or earnings. You will also have no claim for a refund or reimbursement of any funds you have advanced or expenses you have paid or incurred in connection with your responsibilities under this Addendum or for any other reason.

7. Assigned Independent Advisors. You understand and agree that Ameriprise Financial may:
- A. Unilaterally remove independent advisors from you in your role as Registered Principal and that this may occur with or without your consent;
 - B. Request that you supervise an Independent Advisor placed on Heightened Supervision and that you may refuse such request; and
 - C. Request that you provide compliance supervision for additional Independent Advisors and that you may refuse such request.

Should any of the events outlined in Section 7.A, B or C occur, your compensation will be adjusted accordingly as set forth in the Manuals. You will be notified of changes to the Independent Advisors assigned to you and the subsequent adjusted compensation by regular mail or through your Ameriprise Financial e-mail address.

8. Miscellaneous.

- A. This Addendum may be amended only by a written amendment signed by the parties and executed by their authorized officers or agents.
~~authorized officers or agents.~~
 - B. If Ameriprise Financial waives any provision of this Addendum, the waiver applies only to that provision, not to any other part of the Addendum. A Waiver is effective only when it is written and signed by an authorized officer of Ameriprise Financial.
 - C. If the laws of any state prohibit any provision of this Addendum, the laws apply only to that provision. They do not invalidate the remaining portion of the Addendum.
 - D. Registered Principal and Ameriprise Financial both acknowledge that no oral or written representations were made about this Addendum or about the relationship between Registered Principal and Ameriprise Financial that are not set forth in this Addendum.
 - E. All capitalized terms not otherwise defined in the Addendum shall have the same meaning as in the Agreement.
~~Agreement.~~
9. Effective Date. In witness of the provisions of this Addendum as described above, Registered Principal and Ameriprise Financial have entered into this Addendum with the understanding that it becomes effective on _____.

IN WITNESS WHEREOF, the parties hereto have entered into and duly executed this Addendum with the understanding that it becomes effective on ____.

~~IN WITNESS WHEREOF, the parties hereto have duly executed this Addendum on the date first above written.~~

~~Independent Advisor~~ _____ ~~Ameriprise Financial Services, LLC~~

~~By: Name: Title: Date: Social Security No.:~~ the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

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**Addendum 3-T
ADDENDUM TO**

**THE
AMERIPRISE
FINANCIAL
SERVICES, LLC
INDEPENDENT
ADVISOR BUSINESS
FRANCHISE
AGREEMENT
EMPLOYEE TO FRANCHISE
TRANSITIONS**

~~This Addendum is entered into by and between~~

~~_____ (~~
~~“Independent Advisor”) and Ameriprise Financial Services, LLC~~

~~(“Ameriprise Financial”), on this _____~~

~~”) and Independent Advisor are parties to the Ameriprise Financial
and Independent Advisor hereby agree as follows:~~

~~The terms of this Addendum hereby supplement the Services, LLC Independent Advisor Business Franchise Agreement(s) by and between, Ameriprise Financial and Independent Advisor. (“Agreement”) and hereby agree as follows:~~

~~1. Supplement to Agreement. This Addendum to the Agreement (“Addendum”) shall supplement the terms of the Agreement. In the event of any inconsistency between this Addendum and the Agreement, this Addendum shall control.~~

~~4.2. Scope of Addendum. Ameriprise Financial will suffer irreparable harm should Independent Advisor violate Section 19(B)(1) and (2) of the Franchise Agreement (hereinafter, “Restrictive Covenant”) without fully and timely satisfying the terms of this Addendum.~~

~~2.3. Terms of Forbearance Agreement. As a mitigation of this irreparable harm, Ameriprise Financial agrees to forbear from enforcement of its rights against Independent Advisor under the Restrictive Covenant if Independent Advisor timely and fully complies with the following conditions:~~

- A. Fourteen (14) Days' Notice. Independent Advisor must provide Ameriprise Financial with at least fourteen (14) calendar days written notice of the termination of the Franchise Agreement ("Termination Notice") in accordance with Section 23 of the Franchise Agreement, with a copy to be delivered personally to the Advisor's Regional Vice President ("RVP"), RVP designate, or if no designate is timely provided, to the Independent Advisor's immediate Ameriprise Financial leader, and, in either event, a copy, by facsimile or overnight mail, to Ameriprise Financial Corporate Office, Risk Mitigation Unit 1835. The fourteen-day period shall begin on the day written notice is received by Ameriprise Financial, including all required copies, and continue through and include the fourteenth (14) day.
- B. As of the date of the Termination Notice, the Independent Advisor must:
- (1) Length of Service. Have served at least six consecutive years as an advisor for Ameriprise Financial and have completed at least three full years under the Independent Financial Advisor Franchise Agreement ("Independent Advisor"). For example, an Ameriprise Financial Advisor may be an employee advisor for three years and an Independent Financial Advisor for three years and qualify for this forbearance agreement.
 - (2) Compliance Obligations. Not be subject to discipline as a result of a violation of the Compliance policies or procedures as set forth in the Compliance Policy Manual or other Manuals as defined in Section 3, of the Franchise Agreement. This discipline may include, but not be limited to, suspension, strict supervision, involuntary termination or otherwise "permitted to resign".
 - (3) Regulatory Obligations. Not be the subject of an ongoing Compliance Rule related (i) investigation by Ameriprise Financial, the SEC, the FINRA, any of the other self-regulatory organizations, a state securities or insurance commissioner or regulatory authority; (ii) Ameriprise Financial client complaint; or (iii) adversary proceeding involving an Ameriprise Financial client or Ameriprise Financial. (Upon Advisor's reasonable request, Ameriprise Financial may waive conditions 2(c)(ii) and (iii).)
- C. Return of Complete Files and Proprietary Materials. Within five (5) business days after the date of the Termination Notice (including the date of such Notice), Independent Advisor must return all original and copies of Client files and records and Ameriprise Financial proprietary materials, as defined in Section 19 of the Franchise Agreement, to the Advisor's RVP designate or, if no designation is provided by Ameriprise Financial within five (5) business days, to Independent Advisor's immediate Ameriprise Financial leader. Independent Advisor must comply with Ameriprise Financial's client privacy policy, including, but not limited to, provisions related to Client files, records and/or information.
- To the extent consistent with privacy laws and Ameriprise Financial policies, in order to allow Independent Advisor to service portable products and to fulfill compliance duties, Advisor, upon consent of Ameriprise Financial as well as the Client, may retain copies of consolidated statements, financial plans, tax returns, advisor notes, insurance policies, Ameriprise Financial or Ameriprise Financial approved product **applications**

application and trust or other legal documents for the Client's Independent Advisor ~~services~~services at Ameriprise Financial, but may not retain copies of any Ameriprise Financial/American Express Company proprietary materials, or Ameriprise Financial/American Express Company trademarked, or copyrighted materials, software or property, as defined in the ~~Franchise~~ Agreement.

- D. Franchise Agreement Compliance. On and before the effective date of the termination of the Franchise Agreement between Ameriprise Financial and Independent Advisor, Independent Advisor shall comply fully with Section 18 (Obligations upon Termination or Expiration) of the Franchise Agreement.
- E. No Disparagement or Recruiting. Both before and after the effective date of the termination of the Franchise Agreement between Ameriprise Financial and Independent Advisor, the Independent Advisor:
- (1) must not make disparaging or defamatory comments to anyone about Ameriprise Financial, its affiliated companies, their products, services or personnel; ~~companies, their products, services or personnel; and~~
 - (2) must not recruit or solicit any other Ameriprise Financial independent contractor, employee or franchisee to terminate their respective relationship with Ameriprise Financial; and
 - (3) continue to comply with Section 18 of the Franchise Agreement, to the extent such section requires Advisor to meet obligations subsequent to the termination of the Franchise Agreement.
- F. No Pre-Termination Notification of or Solicitation of Clients. Departing Independent Advisor agrees not to notify clients of his or her termination, orally or in writing, on or prior to the effective date of termination. Further, any notice Independent Advisor does send to clients after the Independent Advisor's termination, announcing Independent Advisor's termination from Ameriprise Financial, must not be on Ameriprise Financial (or affiliated company) stationery or use Ameriprise Financial's Proprietary Marks, and may not be mailed in any envelope marked with any Ameriprise Financial Proprietary Marks. Independent Advisor also must not, prior to the effective date of termination, solicit or otherwise assist any Ameriprise Financial client to transfer Ameriprise Financial client assets from Ameriprise Financial to another broker/dealer, insurance company or investment advisor. In addition, from the date of notice up through and including the date of termination, Independent Advisor must also not communicate marketing events to or make appointments with clients which are scheduled to occur after the date of Independent Advisor's termination.
- G. Exception for Succession Planning Agreements. As to any clients or financial planning practices which Independent Advisor acquires from Ameriprise Financial or another Ameriprise financial advisor, for value paid, a direct or indirect interest, as defined in the Franchise Agreement or in a succession planning agreement, or similar agreement, this Addendum will not be effective for a period of three (3) years after Independent Advisor becomes an Ameriprise Financial Independent Advisor or three (3) years after the client acquisition takes place, whichever occurs later.
- H. Compliance with Addendum Mitigates Ameriprise Financial's Damage. Through Independent Advisor's timely and complete compliance with this Addendum, Independent Advisor will have mitigated, to the extent deemed reasonable by the parties hereto, the irreparable harm Ameriprise Financial would otherwise suffer through the Independent Advisor's violation of the Restrictive Covenant without compliance with this Addendum or the Restrictive Covenant.
- I. Remedies. Should Ameriprise Financial, before or after the effective date of Independent Advisor's termination of the Franchise Agreement, discover that the Independent Advisor:
- (1) has, in fact, not fully or timely complied with the provisions of paragraph C1-6; and, if applicable, paragraph C-8; ~~or~~
 - (2) has defamed or disparaged Ameriprise Financial in any manner; ~~or~~
 - (3) has recruited or solicited any other Ameriprise Financial employee or franchisee to terminate their respective relationship with Ameriprise Financial; or
 - (4) has otherwise breached the terms of the Franchise Agreement or this Addendum;
- then Ameriprise Financial shall be entitled to all remedies at law and equity including but not limited to injunctive relief, actual, compensatory and punitive damages, and its reasonable attorneys' fees and costs.

- J. No Waiver. This Addendum does not modify, amend or otherwise alter any provision of the Franchise Agreement except the Restrictive Covenant set forth at Sections 19(B)(1) and (2) of the Franchise Agreement(s). This Addendum does not modify, amend, or otherwise alter Independent Advisor's obligations under Ameriprise Financial's client assignment policy. Should any court, arbitration panel or quasi-judicial body of competent jurisdiction determine that any provision of the Franchise Agreement or this Addendum is unenforceable or invalid, such a determination shall not render the Franchise Agreement or this Addendum, or any provision thereof, otherwise unenforceable or invalid.
- K. Primary Purpose of This Addendum. Ameriprise Financial and the Independent Advisor agree and acknowledge that (1) Ameriprise Financial has invested substantial sums and resources in the training, marketing and development of Independent Advisor, which has been to the benefit of Independent Advisor's business; and (2) in agreeing to this Addendum, the parties are intending to:
- (1) protect the welfare and interests of Ameriprise Financial clients;
 - (2) protect both parties against disparagement and unfair competition;
 - (3) protect Ameriprise Financial's interests in its proprietary and confidential information and trademarks; and
 - (4) give Ameriprise Financial reasonable parity with the departing Advisor in competing for the continued business of the clients.
- L. Subject to State Law. All provisions of this Addendum 3-T are subject to state law.
- M. Effective Date. In witness of the provisions of this Addendum as described above Ameriprise Financial and Independent Advisor have entered into this Addendum with the understanding that it becomes effective on _____.

IN WITNESS WHEREOF, the parties hereto have duly executed this Addendum on the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By: Name: _____
Title: _____
Date: _____
Social Security No.: ~~IN WITNESS WHEREOF, the Parties hereto have duly executed this Addendum on the date first above written.~~

~~Independent Advisor~~ ~~Ameriprise Financial Services, LLC~~

By: _____	By: _____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	Date: _____
Social Security No.: _____	
Advisor No.: _____	

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**ADDENDUM TO
THE AMERIPRISE FINANCIAL SERVICES, LLC
INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT
VETERAN ADVISOR RECRUITS**

(FOR ADVISORS TRAINED OUTSIDE OF AMERIPRISE FINANCIAL AND HAVING THEIR OWN CLIENT BASE
~~AND HAVING THEIR OWN CLIENT BASE~~ NOT SUBJECT TO ANOTHER FIRM'S NON-COMPETE AGREEMENT)

_____ (“Independent Advisor”) and Ameriprise Financial Services, LLC (“Ameriprise Financial”) agree as of this _____ day of _____, _____, that the restrictive covenant set forth at Section 19B(1) and (2) of the Franchise Agreement (hereinafter, “Restrictive Covenant”) will (a) not apply to any client listed on the client list attached hereto as Exhibit 1; and (b) not apply to clients not listed on Exhibit 1, if Advisor meets the following conditions:

1. Fourteen (14) Days’ Notice. Independent Advisor must provide Ameriprise Financial with at least fourteen (14) calendar days’ written notice of the termination of the Independent Advisor Business Franchise Agreement (“Termination Notice”) in accordance with Section 23 of the Franchise Agreement, with a copy to be delivered personally to the Advisor’s Regional Vice President (“RVP”), RVP designate, or if no designate is timely provided, to the Independent Advisor’s immediate Ameriprise Financial leader, and, in either event, a copy, by facsimile or overnight mail, to Ameriprise Financial Corporate Office, Risk Mitigation Unit 1835. The fourteen-day period shall begin on the day written notice is received by Ameriprise Financial, including all required copies, and continue through and include the fourteenth (14) day.
2. As of the date of the Termination Notice, Independent Advisor must:
 - A. Compliance Obligations. Not be subject to discipline as a result of a violation of the policies and procedures set forth in the Compliance Policy Manual and other Manuals as defined in Section 3 of the Franchise Agreement. This discipline may include, but not be limited to, suspension, strict supervision, involuntary termination or otherwise “permitted to resign”.
 - B. Regulatory Obligations. Not be the subject of an ongoing Compliance Rule related (i) investigation by Ameriprise Financial, the SEC, FINRA, any of the other self-regulatory organizations, a state securities or insurance commissioner or regulatory authority; (ii) Ameriprise Financial client complaint; or (iii) adversary proceeding involving an Ameriprise Financial client or Ameriprise Financial. (Upon Advisor’s reasonable request, Ameriprise Financial may waive conditions 2(c)(ii) and (iii).)
3. Return of Complete Files and Proprietary Materials. Within five (5) business days after the date of the Termination Notice (including the date of such Notice), Independent Advisor must return all original and copies of client files and records and Ameriprise Financial proprietary materials, as defined in Section 19 of the Franchise Agreement, to the Advisor’s RVP designate or, if no designation is provided by Ameriprise Financial within five (5) business days, to the Independent Advisor’s immediate Ameriprise Financial leader. Independent Advisor must comply with Ameriprise Financial’s client privacy policy, including, but not limited to, provisions related to client files, records and/or information.
To the extent consistent with privacy laws and Ameriprise Financial policies, in order to allow Independent Advisor to service portable products and to fulfill compliance duties, Independent Advisor, upon consent of Ameriprise Financial as well as the Client, may retain copies of consolidated statements, financial plans, tax returns, advisor notes, insurance policies, Ameriprise Financial or Ameriprise Financial approved product applications and trust or other legal documents for the clients the Advisor serviced at Ameriprise Financial, but may not retain copies of any Ameriprise Financial/American Express Company proprietary materials, or Ameriprise Financial/American Express Company trademarked, or copyrighted materials, software or property, as defined in the Franchise Agreement.
4. Franchise Agreement Compliance. On and before the effective date of the termination of the Franchise Agreement between Ameriprise Financial and Independent Advisor, Independent Advisor shall comply fully with Section 18 (Obligations upon Termination or Expiration) of the Franchise Agreement.
5. No Disparagement or Recruiting. Both before and after the effective date of the termination of the Franchise Agreement between Ameriprise Financial and Independent Advisor, the Independent Advisor:

- A. Must not make disparaging or defamatory comments to anyone about Ameriprise Financial, its affiliated companies, products, services or personnel;
~~companies, products, services or personnel; and~~
 - B. Must not recruit or solicit any other Ameriprise Financial independent contractor, employee or franchisee to terminate their respective relationship with Ameriprise Financial; and
 - C. Continue to comply with Section 18 of the Franchise Agreement, to the extent such section requires the Advisor to meet obligations subsequent to the termination of the Franchise Agreement.
6. No Pre-Termination Notification of or Solicitation of Clients. Departing Independent Advisor agrees not to notify clients of their termination, orally or in writing, on or prior to the effective date of termination. Further, any notice Independent Advisor does send to clients after the Independent Advisor's termination, announcing Independent Advisor's termination from Ameriprise Financial, must not be on Ameriprise Financial (or affiliated company) stationery or use Ameriprise Financial's Proprietary Marks, and may not be mailed in any envelope marked with any Ameriprise Financial Proprietary Marks. Independent Advisor also must not, prior to the effective date of termination, solicit or otherwise assist any Ameriprise Financial client to transfer Ameriprise Financial client assets from Ameriprise Financial to another broker/dealer, insurance company or investment advisor. In addition, from the date of notice up through and including the date of termination, Independent Advisor must also not communicate marketing events to or make appointments with clients which are scheduled to occur after the date of Independent Advisor's termination.
7. Exception for Succession Planning Agreements. As to any clients or financial planning practices which Independent Advisor acquires from Ameriprise Financial or another Ameriprise financial advisor, for value paid, a direct or indirect interest, as defined in the Franchise Agreement or in a succession planning agreement, or similar agreement, this Addendum will not be effective for a period of three (3) years after Independent Advisor becomes an Ameriprise Financial Independent Advisor or three (3) years after the client acquisition takes place, whichever occurs later.
8. Compliance with Addendum Mitigates Ameriprise Financial's Damage. Through Independent Advisor's timely and complete compliance with this Addendum, Independent Advisor will have mitigated, to the extent deemed reasonable by the parties hereto, the irreparable harm Ameriprise Financial would otherwise suffer through the Independent Advisor's violation of the Restrictive Covenant without compliance with this Addendum or the Restrictive Covenant.
9. Remedies. Should Ameriprise Financial, before or after the effective date of Independent Advisor's termination of the Franchise Agreement, discover that the Independent Advisor:
- A. has, in fact, not fully or timely complied with the provisions of paragraphs 1-6 and, if applicable, paragraph 7; or
 - B. has defamed or disparaged Ameriprise Financial in any manner; or
 - C. has recruited or solicited any other Ameriprise Financial employee or franchisee to terminate their respective relationship with Ameriprise Financial; or
 - D. has otherwise breached the terms of the Franchise Agreement or this Addendum;
- then Ameriprise Financial shall be entitled to all remedies at law and equity including but not limited to injunctive relief, actual, compensatory and punitive damages; and its reasonable attorneys' fees and costs.
10. No Waiver. This Addendum does not modify, amend or otherwise alter any provision of the Franchise Agreement except the Restrictive Covenant set forth at Sections 19B (1) and (2) of the Franchise Agreement(s). This Addendum does not modify, amend, or otherwise alter Independent Advisor's obligations under Ameriprise Financial's client assignment policy. Should any court, arbitration panel or quasi-judicial body of competent jurisdiction determine that any provision of the Franchise Agreement or this Addendum is unenforceable or invalid, such a determination shall not render the Franchise Agreement or this Addendum, or any provision thereof, otherwise unenforceable or invalid.

IN WITNESS WHEREOF, the parties hereto have duly executed this Addendum on the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

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**EXHIBIT 1 TO ADDENDUM 3-V
VETERAN ADVISOR RECRUITS**

This is Exhibit 1 ~~to~~^{to} Addendum 3-V to the Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement, by and between Ameriprise Financial Services, LLC (“Ameriprise Financial”) and _____ (“Independent Advisor”) ~~and Ameriprise Financial Services, LLC (“Ameriprise Financial”)~~.

This Exhibit 1 to Addendum 3-V shall have no impact on any contract or restrictive covenant which Independent Advisor may have with another company. Independent Advisor ~~understanding~~^{understands} that such obligations, if any, are Independent Advisor’s obligation to consider without input or assistance from Ameriprise Financial.

Independent Advisor certifies that each of the individuals/entities listed on the attached client list is a client of Independent Advisor as of the date Independent Advisor signs Addendum 3-V. This Exhibit 1 to Addendum 3-V consists of this cover document and the attached list of clients (to be dated and signed ~~and dated~~ by Ameriprise Financial and Independent Advisor).

Dated: ~~this~~ _____ day of _____, _____.

Independent Advisor

By: _____

Name: _____

Title: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

Ameriprise Financial Services, LLC

By: _____

Name: _____

Title: _____

Date: _____

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**ADDENDUM TO
THE AMERIPRISE FINANCIAL SERVICES, LLC
INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT
ASSOCIATE FINANCIAL ADVISOR**

~~This is an Addendum~~ Ameriprise Financial Services, LLC (“Ameriprise Financial”) and Independent Advisor are parties to the Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement ~~(“the Agreement”)~~. This Addendum (“Addendum”) to the Agreement, by and between the undersigned Independent Advisor and Ameriprise Financial Services, LLC (“Ameriprise Financial”). That Agreement, together with this and any other addenda previously attached, continues in full force and effect. This Addendum Independent Advisor (collectively, the “Parties”), is effective as of the ~~date stated below~~. Effective Date.

WHEREAS, this Addendum defines your relationship as an Independent Advisor employing or contracting Associate Financial Advisor, _____.

Associate Financial Advisor Name

~~As parties to~~

NOW THEREFORE, in mutual consideration of the terms set forth in this Addendum, ~~Independent Advisor and Ameriprise Financial~~ other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Parties hereby agree as follows:

I. General Provisions.

1. Supplement to Agreement. This Addendum to the Agreement shall supplement the terms of the Agreement. In the event of any inconsistency between this Addendum and the Agreement, this Addendum shall control.

~~A. The terms~~ Scope of this Addendum shall have the same meaning as those terms found in the Agreement.

2. Addendum. This Addendum defines Independent Advisor’s ability to hire ~~an~~ Associate Financial Advisor to ~~offer~~ assist Independent Advisor in operating the Independent Financial Advisor Business, including but not limited to, offering financial planning Products & Services ~~offered~~ authorized by Ameriprise Financial to Clients and prospective Clients.

3. Definitions. For purposes of this Addendum, the ~~term~~ terms listed below have the special meanings shown. Other capitalized terms used in this Addendum shall have the meanings ascribed to them in the Agreement.

- A. “Associate Financial Advisor” ~~shall be defined as~~ means an individual whose licenses and registrations are sponsored by Ameriprise Financial but who is the employee or independent contractor of ~~the~~ Independent Advisor signing this Addendum.

3.4. Responsibilities of ~~the~~ Independent Advisor.

- A. Independent Advisor agrees that the Associate Financial Advisor is his ~~or~~ /her employee or independent contractor and not the employee or independent contractor of Ameriprise Financial. Independent Advisor further agrees that he ~~or~~ /she will not represent to the Associate Financial Advisor or to any third-party that Associate Financial Advisor is employed by Ameriprise Financial.

- B. Independent Advisor agrees to treat Associate Financial Advisors who have never been licensed and registered as an agent of a broker-dealer ~~agent~~ or an investment adviser, as a non-exempt employee for a period of at least six weeks after the ~~individual~~ Associate Financial Advisor has been appointed and fully licensed ~~and appointed~~.

~~B. Independent Advisor agrees to comply with all applicable federal, state and local laws, ordinances and regulations, including but not limited to those related to wage and hour requirements, hiring, firing, training, compensation, record-keeping, supervision, discipline, worker’s compensation, unemployment compensation, anti-discrimination and tax laws. Independent Advisor further agrees to comply with all federal and state securities and insurance laws.~~

~~C. Independent Advisor agrees to indemnify and hold Ameriprise Financial, its affiliates and/or respective officers, agents and employees harmless from any penalties, fines, costs, damages, or attorneys’ fees that might arise in connection with any lawsuits, judgments, charges, complaints, settlements or other actions~~

~~arising out of Associate Financial Advisor's relationship with Independent Advisor.~~

~~D. Independent Advisor agrees to ensure that Associate Financial Advisor fully complies with the terms of the Ameriprise Financial Services, LLC Associate Financial Advisor's activities are supervised by a Registered Principal, who cannot be the employing or contracting Independent Advisor, and by Independent Advisor.~~

~~A. Independent Advisor agrees that if the Associate Financial Advisor is no longer employed or contracted by the Independent Advisor for any reason, Independent Advisor will notify Advisor Affiliation Agreement between Ameriprise Financial Field Administration within five days and Associate Financial Advisor, and with all policies and procedures of the date of termination of the relationship to ensure the Associate Financial Advisor's licenses and registrations are terminated in a timely manner. Terminations based on alleged violations of securities or insurance laws or alleged criminal activity must be reported immediately.~~

~~E. Independent Advisor agrees to pay to Ameriprise Financial all fees and costs described in the Associate~~

~~C. Financial Advisor Program Policy, contained, as set forth in the Manuals.~~

~~D. Independent Advisor agrees that he or she will not permit the Associate Financial Advisor to perform any of the following activities until such time as the Associate Financial Advisor obtains all required licenses and, registrations with the FINRA and, applicable state securities and insurance authorities and licenses, and Associate Financial Advisor is appointed as an Associate Financial Advisor with Ameriprise Financial:~~

- ~~• Solicit applications for Ameriprise Financial Products and Services~~
- ~~• Interview Clients~~
- ~~• Sell Products~~
- ~~• Sell or provide Services~~
- ~~• Conduct Client data gathering~~
- ~~• Contact Clients or prospective Clients by phone, fax, mail, e-mail, or in person~~
- ~~• Hold out to the public as an Associate Financial Advisor or a registered representative of Ameriprise Financial~~
- ~~• Distribute business cards identifying themselves as an Associate Financial Advisor or registered representative of Ameriprise Financial~~
- ~~• Describe Products or Services to Clients or prospective Clients~~
- ~~• Send sales literature on Products or Services to Clients or prospective Clients~~
- ~~• Conduct initial interviews with prospective Client Clients~~
- ~~• Or any other activities that require licensing, registration, and appointment~~

~~Violation of this provision may result in termination of this Addendum as well as default and/or termination under the terms of the Agreement.~~

~~4.1. Ameriprise Financial Responsibilities.~~

~~F. Ameriprise Financial agrees to credit the Independent Advisor the Gross Dealer Concession generated by the activities of the Associate Financial Advisor during the period this Addendum is in force.~~

~~G. Ameriprise Financial agrees to sponsor the Associate Financial Advisor's registrations with the FINRA and applicable state securities for the period in which the Associate Financial Advisor is employed or contracted by Independent Advisor.~~

~~H. Ameriprise Financial agrees to appoint the Associate Financial Advisor to the appropriate insurance producers.~~

~~II. Additional Agreements and Understandings.~~

~~A. Independent Advisor understands that Ameriprise Financial will not appoint any Associate Financial Advisor until any and all debt or obligations the Associate Financial Advisor has with Ameriprise Financial and its affiliates have been satisfied. Additionally, you understand and agree that Ameriprise Financial may terminate the Ameriprise Financial Services, LLC Associate Financial Advisor Agreement and the Associate Financial Advisor's licenses and registrations should the Associate Financial Advisor fail to satisfy any debt or other obligations he or she may have with Ameriprise Financial or its affiliates.~~

- ~~B. Independent Advisor agrees that Ameriprise Financial may offer an Ameriprise Financial franchise to the Associate Financial Advisor as more fully described in the Associate Financial Advisor Program Policy.~~
- ~~C. Independent Advisor understands that any rights to Compensation he/she has in the Agreement may be reallocated to the Associate Financial Advisor in an outside agreement as long as: (a) any Transfer be in accordance with Section 14 of the Franchise Agreement; (b) the outside agreement is consistent with the requirements contained in the Manuals; (c) the outside agreement will be enforced among the Independent Advisor and Associate Financial Advisor and Ameriprise will not be responsible to enforce or follow contested terms in such an outside agreement; and (d) any disagreements be handled by the parties without Ameriprise involvement.~~
- ~~D. Independent Advisor agrees and understands that notwithstanding any covenants not to compete he or she may have entered into with Associate Financial Advisor, Ameriprise Financial will honor the choice of the Client in assigning Client(s) to a financial advisor, including but not limited to an Associate Financial Advisor.~~

- ~~E. Independent Advisor agrees to ensure that Associate Financial Advisor fully complies with the terms of the Ameriprise Financial Services, LLC Associate Financial Advisor Agreement between Ameriprise Financial and Associate Financial Advisor.~~
- ~~F. Independent Advisor agrees that he or she will terminate the Associate Financial Advisor if for any reason Ameriprise Financial terminates this Addendum and/or the FINRA licenses and registrations, and applicable state securities and insurance licenses and registrations of the Associate Financial Advisor.~~
- ~~G. Independent Advisor understands that he or she must have an acceptable compliance record as determined by Ameriprise Financial Corporate Compliance.~~
- E. Independent Advisor agrees to ensure that Associate Financial Advisor's activities are supervised by a Registered Principal, who cannot be the employing or contracting Independent Advisor, and by Independent Advisor, as described in the Manuals.
- F. Independent Advisor agrees to indemnify and hold Ameriprise Financial, its affiliates and/or respective officers, employees, and agents harmless from any penalties, fines, costs, damages or attorney's fees that might arise in connection with any lawsuits, judgments, charges, complaints, settlements or other actions arising out of Associate Financial Advisor's relationship with Independent Advisor, including but not limited to, damages arising out of Associate Financial Advisor's actions or inactions.
- G. Independent Advisor agrees to pay to Ameriprise Financial all costs and fees described in the Associate Financial Advisor Program Policy, contained in the Manuals.
- H. Independent Advisor agrees to comply with all federal and state securities and insurance laws and regulations, and Independent Advisor further agrees to comply with all applicable federal, state and local laws, ordinances and regulations, including but not limited to, the Americans with Disabilities Act, employment and labor laws (e.g., regarding wage and hour requirements, hiring and firing, compensation, training and supervision, discipline, record-keeping, unemployment compensation and worker's compensation, etc.), and tax laws.
- E.I. To satisfy SEC book and records requirements, Independent Advisor understands and agrees he ~~or~~ /she must maintain documentation of any and all compensation agreements with Associate Financial Advisor~~;~~, including but not limited to, job description, full or part time status, hours worked, base pay, bonus structure, and any other compensation related items (including a description of any non-monetary ~~item/~~compensation and/or items received with an estimated value)), between ~~the Independent Advisor and~~ Associate Financial Advisor ~~and the Independent Advisor~~. Independent Advisor further understands that compensation agreements must be updated each time a change is made in compensation.
- F.J. Independent Advisor also agrees to maintain records of any and all compensation paid to ~~the~~ Associate Financial Advisors and to provide/produce such records within 24 hours of any request from Ameriprise Financial.

5. Ameriprise Financial Responsibilities.

- ~~H. Independent Advisor understands that the Associate Financial Advisor program may be modified, enhanced,~~
- A. ~~changed~~ Ameriprise Financial agrees to sponsor Associate Financial Advisor's licenses and registrations with FINRA and applicable state securities and insurance authorities for the term of this Addendum during which Associate Financial Advisor is employed or contracted by Independent Advisor.
- B. Ameriprise Financial agrees to appoint Associate Financial Advisor to the appropriate insurance producers.
- C. Ameriprise Financial agrees to credit Independent Advisor the Gross Dealer Concession generated by the activities of Associate Financial Advisor during the term of this Addendum.

6. Additional Understandings.

- A. Independent Advisor understands that Ameriprise Financial will not appoint any Associate Financial Advisor until Associate Financial Advisor has satisfied any and all debt and/or obligations Associate Financial Advisor has with Ameriprise Financial and its affiliates. Additionally, Independent Advisor understands and agrees that Ameriprise Financial may terminate the Ameriprise Financial Services, LLC Associate Financial Advisor Affiliation Agreement and Associate Financial Advisor's licenses and registrations in the event Associate Financial Advisor fails to satisfy any debt and/or other obligations he or she may have with Ameriprise Financial or its affiliates.
- B. Independent Advisor understands and agrees that Ameriprise Financial may offer an Ameriprise

Financial franchise to Associate Financial Advisor, as described in the Manuals.

- C. Independent Advisor acknowledges that Independent Advisor must maintain an acceptable compliance record as determined by Ameriprise Financial Corporate Compliance during the term of this Addendum.
- D. Independent Advisor understands that he/she may reallocate his/her rights to Compensation Independent Advisor has under the Agreement to Associate Financial Advisor in a separate agreement, as long as: (i) any Transfer complies with Section 14 of the Franchise Agreement; (ii) the compensation arrangement and/or separate agreement is consistent with the requirements contained in the Manuals; (iii) the Parties are responsible for the enforcement of the agreement and Ameriprise Financial will not be responsible to enforce or follow contested terms in any such agreement; and (iv) any disagreements be handled by the Parties without Ameriprise Financial involvement.
- E. Independent Advisor understands and agrees that notwithstanding any covenants not to compete he or she may have entered into with Associate Financial Advisor, Ameriprise Financial will honor a Client's choice when assigning Client(s) to a financial advisor, including but not limited to, an Associate Financial Advisor.
- A-F. Independent Advisor understands that the Associate Financial Advisor Program may be amended, modified or terminated by Ameriprise Financial, in Ameriprise Financial's sole discretion.

5.7. Termination.

B-A. This Addendum ~~shall~~will immediately terminate in the event of:

- (1) Independent Advisor's and/or Associate Financial Advisor's death or retirement;
- (2) Independent Advisor's and/or Associate Financial Advisor's total and permanent disability;
- (3) Cancellation or non-renewal of any license, registration or bond ~~the Independent Advisor is required~~Independent Advisor is required to hold pursuant to federal, state or local law, ordinance or regulation, or as required by a regulatory agency (e.g., SEC, FINRA, etc.), and/or Ameriprise Financial policy or this Addendum;
~~to have by the states, the FINRA, SEC, Ameriprise Financial policy or this Addendum;~~
- (4) Independent Advisor's violation of any provision of this Addendum or the Agreement;
- (5) Termination of ~~employment of or contract with the~~ relationship between Independent Advisor and Associate Financial Advisor ~~by the Independent Advisor or the Associate Financial Advisor; and, for any reason;~~
- (6) Associate Financial Advisor's violation of any provision of the Ameriprise Financial Services, LLC Associate Financial Advisor Affiliation Agreement.

C-B. This Addendum may be terminated by either party with or without cause at any time and for any reason.

C. Independent Advisor agrees that he or she will terminate Associate Financial Advisor if, for any reason, Ameriprise Financial terminates this Addendum and/or required licenses, registrations, and applicable state securities and insurance licenses of Associate Financial Advisor.

D. Independent Advisor agrees to promptly notify Ameriprise Financial, in writing, if Associate Financial Advisor's relationship with Independent Advisor is terminated, for any reason. Independent Advisor agrees to provide such notice to Independent Advisor's Regional Vice President ("RVP") designate, or if no designate is timely provided, to Independent Advisor's immediate Ameriprise Financial leader within five days of the date the relationship terminates to ensure Associate Financial Advisor's licenses and registrations are terminated in a timely manner. Terminations based on alleged violations of securities or insurance laws or alleged criminal activity must be reported immediately.

D-E. Termination Claims. Upon termination or expiration of this Addendum, Independent Advisor agrees that Independent Advisor shall have no ~~claim~~claims against Ameriprise Financial for earnings, profits, or anticipated profits or earnings. Independent Advisor further agrees that Independent Advisor shall have no claim for a refund or reimbursement of any ~~funds~~amounts Independent Advisor has advanced and/or expenses Independent Advisor has paid or incurred in connection with Independent Advisor's responsibilities under this Addendum or for any other reason.

6.8. Miscellaneous.

A. ~~This Addendum may be amended only by a written~~Amendments. No amendment signed by to, or modification of, this Addendum, or any part thereof, will be binding upon the Parties hereto unless

made in writing and signed by the Parties and ~~executed/or~~ by their authorized officers or agents.

- B. ~~If~~Waiver. No delay or omission in the exercise of any right or remedy under this Addendum shall impair such right or remedy or be construed as a waiver of any breach. Any waiver by Ameriprise Financial waives of any provision(s) of this Addendum, ~~the waiver applies will apply~~ only to that provision, not to any other part of ~~the~~this Addendum. A waiver is effective only when ~~it is~~ in writing and signed by an authorized officer of Ameriprise Financial.
- C. Severability. If the laws of any state prohibit any provision of this Addendum, ~~the laws apply only to that provision. They do not invalidate~~ such laws will apply only to such provision, not to any other part of this Addendum. The other provisions of this Addendum will be unimpaired and the invalid or unenforceable provision will be deemed modified so that it is valid and enforceable to the ~~remaining portion of the Addendum~~ maximum extent permitted by law.
- D. ~~Independent Advisor and~~ Ameriprise Financial and Independent Advisor both acknowledge that no oral or written representations were made ~~about~~regarding this Addendum that are not set forth in this Addendum.

7.9. Effective Date. In witness of the provisions of this Addendum as described above, ~~Independent Advisor and Ameriprise Financial~~ the Parties have entered into this Addendum with the understanding that it becomes effective on _____, _____.

IN WITNESS WHEREOF, the Parties hereto have duly executed this Addendum on the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

Franchise Consultant
Services Addendum
v.2021

Send to:
Franchise Consultant Services
Fax: 612-547-2831



**ADDENDUM TO
THE AMERIPRISE FINANCIAL SERVICES, LLC
INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT**

This Franchise Consultant Services Addendum (“Addendum”) hereby amends the existing Ameriprise Financial Services, Inc. Independent Advisor Business Franchise Agreement (“Agreement”), by and between the undersigned Independent Advisor and Ameriprise Financial Services, Inc. (“Ameriprise Financial”) (collectively, the “Parties”), and shall be effective as of the Effective Date (as defined in Section 17). All of the terms, conditions, and provisions of the Agreement, together with any other addenda previously attached, incorporated herein by reference, shall continue in full force and effect, and are unchanged except as expressly amended hereby.

1. Definitions. Unless otherwise defined, capitalized terms used herein shall have the same meaning as in the

Agreement. As to this Addendum:

(a) “Franchise Consultant” shall mean an Independent Advisor who satisfies the minimum standards of a Franchise Consultant, as set forth by the Ameriprise Financial Franchise Consultant Program, and who is currently approved by Ameriprise Financial to offer franchise consulting services to other Independent Advisors.

2. Scope. This Addendum defines Independent Advisor’s role as a Franchise Consultant of Ameriprise Financial’s Franchise Consultant Program (the “Program”) and sets forth the terms and conditions upon which Independent Advisor may offer and provide to other Independent Advisors certain franchise consulting services during the Term of the Agreement.

3. Term. The term (“Term”) of this Addendum shall commence as of the Effective Date and shall remain in effect until terminated, pursuant to Section 7.

4. Franchise Consultant Program.

(a) Franchise Consultant Fee. In consideration of administrative costs, quality assurance monitoring, and training resources made available to Independent Advisor and Independent Advisor’s Consultees, Independent Advisor understands, acknowledges, and agrees to pay Ameriprise Financial a fee for participation in the Program (“Franchise Consultant Fee”), as set forth in the Manuals. The Franchise Consultant Fee shall allow Independent Advisor the right to attend the Program’s annual Leadership Conference, with conference fees and travel expenses paid by the Program.

(b) Adherence to Program Policies and Standards. Independent Advisor shall adhere to all Program policies, procedures, and standards established by Franchise Consultant Services and Ameriprise Financial, as such policies, procedures, and standards currently exist and as may be amended from time to time.

(c) Ameriprise Financial reserves the right to revise or discontinue the Program at any time.

5. Services.

(a) Independent Advisor, in Independent Advisor’s role as a Franchise Consultant, shall offer and provide certain fee-based franchise consulting services to other Independent Advisors (“Consultees”). Such services shall include, without limitation: business planning and marketing, coaching, recruitment and training, and succession planning (“Services”).

- (b) Independent Advisor understands, acknowledges, and agrees that Ameriprise Financial will not be responsible for arranging franchise consulting relationships for Independent Advisor.

6. Compensation.

- (a) As consideration for performance of the Services, Independent Advisor, in Independent Advisor's role as a Franchise Consultant, shall receive compensation from the Consultee, as set forth in the respective Franchise Consultant Services Form submitted to and processed through the systems of Ameriprise Financial.
- (b) Independent Advisor understands, acknowledges, and agrees that Ameriprise Financial will not be liable for any compensation due and owed to Independent Advisor, in Independent Advisor's role as a Franchise Consultant, by any Consultee.
- (c) Bonuses and Incentives. From time to time, the Program, at its sole discretion, may provide bonuses and/or other incentives as set forth in the Manuals.

7. Termination.

- (a) Independent Advisor may terminate this Addendum upon fourteen (14) days' prior written notice to Ameriprise Financial, pursuant to Section 23 of the Agreement, with a copy to be delivered to Franchise Consultant Services and Independent Advisor's Field Risk Manager ("FRM") or FRM designate.
- (b) Ameriprise Financial may terminate this Addendum with or without cause at any time and for any reason.
- (c) Automatic Termination. This Addendum shall automatically terminate in the event of Independent Advisor's:
 - (1) Failure to satisfy minimum Program standards;
 - (2) Voluntary or involuntary termination of Independent Advisor's Agreement;
 - (3) Cancellation or non-renewal of any registration, license, certification, or bond, which Independent Advisor is required to hold, pursuant to federal or state law, by FINRA or the Securities & Exchange Commission, or the Agreement;
 - (4) Voluntary or involuntary bankruptcy or insolvency proceedings;
 - (5) Retirement; or
 - (6) Death or permanent disability.

8. Suspension. In the event Independent Advisor's Agreement with Ameriprise Financial is suspended, this Addendum shall automatically suspend as of the same date. If Independent Advisor's Agreement is reinstated, Ameriprise Financial, in its sole discretion, shall determine whether to permit Independent Advisor to resume Independent Advisor's role as a Franchise Consultant.

9. Covenants.

- (a) Independent Advisor understands, acknowledges, and agrees that, in connection with the performance of this Addendum, Independent Advisor will have access to, acquire, learn, and obtain (collectively, "access") certain confidential or proprietary information and materials related to the business, including, without limitation, information regarding the operational, marketing and sales methods and techniques of Ameriprise Financial and the System, which may include, without limitation:

- Operational metrics and resources, including planning support from senior leadership for consultancy meetings, access to various consultancy reports, including AdvisorCompass reports for Consultees, and dashboard resources, and home office billing for coaching fees;
 - Collaboration with local field leadership, including quarterly one-on-ones with FFVPs, and regularly facilitated touchpoints with field leader teams and other franchise consultants;
 - Marketing and networking opportunities, including flexibility to develop consultancy branding, the ability to market consultancy services to franchise owners, invites to corporate and field partnership networking opportunities (e.g., event invites, co-branding and/or co-presenting opportunities, etc.), and access to Ameriprise Financial Marketplace of conference events at internal business partner rates;
 - Training and development, including an invitation to the Program’s annual Leadership Conference, and access to Franchise Consultant-only training forums and communications; and
 - Incentives and recognition, including the option to participate in the Franchise Consultant Bonus Program and Scorecard programs, with the ability to earn Crystal credit for the Circle of Success program, and eligibility for the Premier Franchise Consultant Award and the Artie Award. (collectively, “Confidential Information”).
- (b) Independent Advisor understands, acknowledges, and agrees that said Confidential Information has great value to Ameriprise Financial, and Independent Advisor further agrees that because of such access, Independent Advisor is in a position of trust and confidence with respect to said Confidential Information. Accordingly, in recognition of and consideration for the various benefits provided to Independent Advisor in conjunction with this Addendum, and to protect said Confidential Information, including client confidentiality, and Ameriprise Financial goodwill, Independent Advisor agrees and covenants that:
- (1) For the Term of this Addendum, Independent Advisor agrees and covenants, to not, directly or indirectly, for themselves, through, on behalf of, or in conjunction with, any person or entity:
 - i. Encourage, assist, or participate (collectively, ~~“,”~~ “encourage”), or attempt to encourage, any actual or prospective Client, whether consumer or business, to terminate an agreement with Ameriprise Financial, or to cancel, redeem, surrender, or terminate any Products & Services acquired, obtained, ordered, or purchased from or through Ameriprise Financial, or any of its affiliates, Issuers, or any registered representative subject to the System, without the prior written approval and consent of Ameriprise Financial, except as provided in the Manuals.
 - (2) For a period of one (1) year after the Term of this Addendum, Independent Advisor agrees and covenants, to not, directly or indirectly, for themselves, through, on behalf of, or in conjunction with, any person or entity:
 - i. Encourage, assist, or participate (collectively, “encourage”), or attempt to encourage, any Client that Independent Advisor contacted, serviced, or learned of, whether consumer or business, while operating under this Addendum, to terminate an agreement with Ameriprise Financial, or to cancel, redeem, surrender, or terminate any Products & Services acquired, obtained, ordered, or purchased from or through Ameriprise Financial, or any of its affiliates, Issuers, or any registered representative subject to the System, without the prior written approval and consent of Ameriprise Financial, except as provided in the Manuals; or
 - ii. Solicit any actual or prospective Client, whether consumer or business, that Independent Advisor contacted, serviced, or learned of, in connection with the performance of this Addendum, for the purpose of opening an account other than an Ameriprise Financial account or to sell any product or service, including but not limited to, insurance, investment, or other financial products or services, the type of which is offered by Ameriprise Financial, other than through Ameriprise Financial, without the prior written approval and consent of Ameriprise Financial.

- (3) For the Term of this Addendum and for a period of two (2) years thereafter, Independent Advisor agrees and covenants, to not, directly or indirectly, for themselves, through, on behalf of, or in conjunction with, any person or entity:
- i. Encourage, recruit, or solicit (collectively, “solicit”) or attempt, to solicit, any person who is employed by or affiliated with Ameriprise Financial, including but not limited to, as a registered representative, independent contractor, or agent (collectively, an “affiliated person”), to terminate their employment or affiliation with Ameriprise Financial, or any person who was employed by or affiliated with Ameriprise Financial, including as an affiliated person, during the six (6) month period prior to such encouragement, recruitment, or solicitation; or
 - ii. Employ, or retain, any person who was affiliated with Ameriprise Financial, as a registered representative, independent contractor or agent, during the six (6) month period prior to such employment or retention.
- (4) For the Term of this Addendum and at any time thereafter, Independent Advisor agrees and covenants, to not, disparage Ameriprise Financial or any of its affiliates, including, without limitation, its employees, independent contractors, or agents, and Products & Services.
- (c) Independent Advisor understands, acknowledges, and agrees that any such disclosure of Confidential Information, in violation of Section 9 (b), will result in substantial damage and injury to Ameriprise Financial, the precise amount of which will be difficult to quantify, and therefore, Independent Advisor agrees to pay to Ameriprise Financial the sum of one percent (1%) of all client assets transferred from accounts held with Ameriprise Financial, as a fair and reasonable amount of liquidated damages to compensate Ameriprise Financial for any loss or damage resulting from said breach. Independent Advisor shall pay any liquidated damages amount owed within thirty (30) days of demand. Independent Advisor agrees that payment of liquidated damages is in addition to any other relief that Ameriprise Financial may be entitled, including, without limitation, injunctive relief, punitive damages, compensatory damages, and any rights under any other agreement or any other Section of this Addendum.
- (d) Independent Advisor agrees and understands that Independent Advisor, and all Independent Advisor’s employees, delegates, and contractors, are required to comply with all privacy requirements set forth both by applicable state and federal laws, as well as Ameriprise Financial’s own policies and procedures. Independent Advisor further agrees and understands that Independent Advisor and Independent Advisor’s employees, delegates, and contractors must strictly comply with the Ameriprise Financial Global Code of Conduct, especially given that Independent Advisor, Independent Advisor’s employees, delegates, and contractors will have unique access to sensitive information regarding other Ameriprise Financial advisors. By way of example, to the extent that an advisor seeks input from Independent Advisor related to a potential practice sale or acquisition, Independent Advisor shall immediately notify the advisor if Independent Advisor may have a personal interest in the transaction. Failure to conduct yourself in accordance with the Code of Conduct could result in consequences up to, and including, termination of this Addendum and/or termination of Independent Advisor’s Agreement.
10. Relationship of the Parties. Independent Advisor understands, acknowledges, and agrees that this Addendum, as it pertains to the Program, does not create a partnership, joint venture, agency, independent contractor, or employment relationship, between Independent Advisor and Ameriprise Financial.
11. Incorporation. This Addendum shall supplement the terms and conditions of the Agreement and is deemed integrated and incorporated therein, and shall further supersede all previous agreements and addendums relating to the Franchise Consultant role.
12. Compliance of the Laws. Independent Advisor understands, acknowledges, and agrees to perform all of Independent Advisor’s obligations under this Addendum in compliance, at all times, with all applicable federal, state, and local laws and regulations, FINRA rules, and Ameriprise Financial policies.

13. Indemnification. Independent Advisor understands, acknowledges, and agrees to defend, hold harmless, and indemnify Ameriprise Financial, its affiliates and/or respective officers, employees, and agents, from any and all claims, costs (including attorneys' fees and court costs), damages, fines, liabilities, losses, and penalties, arising from or relating to any action or inaction Independent Advisor takes in Independent Advisor's role as a Franchise Consultant.

14. Assignment. Independent Advisor shall not assign, cede, or transfer any of Independent Advisor's rights or obligations under this Addendum without the prior written consent of Ameriprise Financial, whether by acquisition, merger, operation of law, sale, or otherwise.

15. Interpretation. To the extent any of the terms or conditions contained in this Addendum conflict or contradict

any of the terms or conditions of the Agreement, this Addendum shall control.

16. Headings. All headings used in this Addendum are solely for the purpose of convenience and shall in no manner be deemed to be a part of this Addendum or used in interpreting its terms.

17. Effective Date. The effective date of this Addendum is _____ ("Effective Date").

IN WITNESS WHEREOF, the parties hereto have duly executed this Addendum in duplicate on the date written below.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

Each signing party should retain an original agreement.

**ADDENDUM TO
THE AMERIPRISE FINANCIAL SERVICES, LLC
INDEPENDENT ADVISOR BUSINESS FRANCHISE AGREEMENT
FEE WAIVER**

Ameriprise Financial Services, LLC (“Ameriprise Financial”) and Independent Advisor (collectively, the “Parties”) are parties to the ~~attached~~ Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement ~~(the “Agreement”)~~, and hereby agree as follows:

1. Supplement to Agreement. This Addendum to the Agreement (“Addendum”) shall supplement the terms of the Agreement. In the event of any inconsistency between this Addendum and the Agreement, this Addendum shall control.
2. In Section 4 of the Agreement, under the heading “FEES AND COMPENSATION”, the paragraph entitled “Initial Fee”, shall be replaced with the following:
 - Initial Fee. In consideration of employee’s current status as an Ameriprise Financial employee and the employee’s job elimination, Ameriprise Financial agrees to waive Independent Advisor’s Initial ~~Franchise~~ Fee of One Thousand Five Hundred Dollars (\$1,500).
3. Independent Advisor acknowledges that ~~he or she~~ Independent Advisor has read and understands this Addendum.
4. Effective Date. In witness of the provisions of this Addendum as described above, Ameriprise Financial and Independent Advisor have entered into this Addendum with the understanding that it becomes effective on _____.

IN WITNESS WHEREOF, the Parties hereto have duly executed this Addendum in duplicate on the date written below.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

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**EXHIBIT B
STATE ADDENDA**

The Ameriprise Financial Franchise Disclosure Document is modified as follows, and ~~the~~any applicable subsequent state law addendum, ~~if any~~, may supersede, to the extent then required by applicable and enforceable state law, certain provision(s) of the Franchise Agreement and the Franchise Disclosure Document, dated March ~~26, 2021~~25, 2022.

CALIFORNIA

To the extent the California Franchise Investment Law, Cal. Corp. Code §§ 31000–31516 or the California Franchise Relations Act, Cal. Bus. & Prof. Code §§ 20000–20043 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with California law, California law will apply.

THE CALIFORNIA FRANCHISE INVESTMENT LAW REQUIRES THAT A COPY OF ALL PROPOSED AGREEMENTS RELATING TO THE SALE OF THE FRANCHISE BE DELIVERED TOGETHER WITH THE DISCLOSURE DOCUMENT.

OUR WEB SITE HAS NOT BEEN REVIEWED OR APPROVED BY THE CALIFORNIA DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION. ANY COMPLAINTS CONCERNING THE CONTENT OF THIS WEB SITE MAY BE DIRECTED TO THE CALIFORNIA DEPARTMENT OF ~~BUSINESS OVERSIGHT~~FINANCIAL PROTECTION AND INNOVATION AT www.dfpi.ca.gov.

SECTION 31125 OF THE CALIFORNIA CORPORATIONS CODE REQUIRES US TO GIVE YOU A DISCLOSURE DOCUMENT, IN A FORM CONTAINING THE INFORMATION THAT THE COMMISSIONER MAY BY RULE OR ORDER REQUIRE, BEFORE A SOLICITATION OF A PROPOSED MATERIAL MODIFICATION OF AN EXISTING FRANCHISE.

Item 3, Additional Disclosure(s):

Neither we nor any person or franchise broker disclosed in Item 2 of the Disclosure Document is subject to any currently effective order of any National Securities Association or National Securities Exchange, as defined in the Securities Exchange Act of 1934, 15 U.S.C. § 78a, et seq., suspending or expelling such persons from membership in this association or exchange.

Item 17, Additional Disclosure(s):

The Franchise Agreement requires you to execute a general release of claims upon renewal or transfer of the Franchise Agreement. California Corporations Code § 31512 provides that any condition, stipulation or provision purporting to bind any person acquiring any franchise to waive compliance with any provision of this law or any rule or order is void. Section 31512 voids a waiver of your rights under the Franchise Investment Law (California Corporations Code §§ 31000–31516). Business and Professions Code § 20010 voids a waiver of your rights under the Franchise Relations Act (Business and Professions Code §§ 20000–20043).

The Franchise Agreement requires application of the laws of Minnesota. This provision may not be enforceable under California law.

California Business and Professions Code §§ 20000–20043 ~~establish~~establishes your rights concerning termination, transfer or non-renewal of the franchise. If the Franchise Agreement contains a provision that is inconsistent with the law, the law will control.

The Franchise Agreement provides for termination upon bankruptcy. This provision may not be enforceable under federal bankruptcy law (11 U.S.C.A. § 101, et seq.).

The Franchise Agreement contains a covenant not to compete which extends beyond the termination of the franchise. This provision may not be enforceable under California law.

Item 19, Additional Disclosure(s):

Any earnings claim figure(s) do not reflect the costs of sales, operating expenses, or other costs or expenses that must be deducted from the gross revenue or gross sales figures to obtain your net income or profit. You should conduct an independent investigation of the costs and expenses you will incur in operating the Independent Financial Advisor Business. Franchisees or former franchisees, listed in the Disclosure Document, may be one source of this information.

HAWAII

To the extent the Hawaii Franchise Investment Law, Hawaii Rev. Stat. §§ 482E-1–482E-12 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Hawaii law, Hawaii law will apply.

THIS FRANCHISE HAS BEEN FILED UNDER THE FRANCHISE INVESTMENT LAW OF THE STATE OF HAWAII. FILING DOES NOT CONSTITUTE APPROVAL, RECOMMENDATION OR ENDORSEMENT BY THE DIRECTOR OF COMMERCE AND CONSUMER AFFAIRS OR A FINDING BY THE DIRECTOR OF COMMERCE AND CONSUMER AFFAIRS THAT THE INFORMATION PROVIDED HEREIN IS TRUE, COMPLETE, AND NOT MISLEADING.

THE FRANCHISE INVESTMENT LAW MAKES IT UNLAWFUL TO OFFER OR SELL ANY FRANCHISE IN THIS STATE WITHOUT FIRST PROVIDING TO THE PROSPECTIVE FRANCHISEE, AT LEAST SEVEN DAYS PRIOR TO THE EXECUTION BY THE PROSPECTIVE FRANCHISEE OF ANY BINDING FRANCHISE OR OTHER AGREEMENT, OR AT LEAST SEVEN DAYS PRIOR TO THE PAYMENT OF ANY CONSIDERATION BY THE FRANCHISEE, WHICHEVER OCCURS FIRST, A COPY OF THE FRANCHISE DISCLOSURE DOCUMENT, TOGETHER WITH A COPY OF ALL PROPOSED AGREEMENTS RELATING TO THE SALE OF THE FRANCHISE.

THIS FRANCHISE DISCLOSURE DOCUMENT CONTAINS A SUMMARY ONLY OF CERTAIN MATERIAL PROVISIONS OF THE FRANCHISE AGREEMENT. THE CONTRACT OR AGREEMENT SHOULD BE REFERRED TO FOR A STATEMENT OF ALL RIGHTS, CONDITIONS, RESTRICTIONS, AND OBLIGATIONS OF BOTH THE FRANCHISOR AND FRANCHISEE.

ILLINOIS

To the extent the Illinois Franchise Disclosure Act, Ill. Comp. Stat. §§ 705/1–705/44 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Illinois law, Illinois law will apply.

Item 17, Additional Disclosure(s):

The Illinois Franchise Disclosure Act governs the Franchise Agreement.

Illinois Franchise Disclosure Act § 705/4 provides that “any provision in a franchise agreement that designates jurisdiction or venue in a forum outside this State [Illinois] is void, provided that a franchise agreement may provide for arbitration in a forum outside of this State [Illinois].”

Illinois Franchise Disclosure Act § 705/41 provides that any condition, stipulation or provision purporting to bind any person acquiring any franchise to waive compliance with the Illinois Franchise Disclosure Act ~~or~~ any other law of Illinois is void.

Your rights upon termination and non-renewal of the Franchise Agreement are set forth in sections 19 and 20 of the Illinois Franchise Disclosure Act.

MARYLAND

To the extent the Maryland Franchise Registration and Disclosure Law, Md. Code Bus. Reg. §§ 14-201–14-233 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Maryland law, Maryland law will apply.

Item 17, Additional Disclosure(s):

The Franchise Agreement provides for termination upon bankruptcy. This provision may not be enforceable under federal bankruptcy law (11 U.S.C.A. § 101, et seq.).

Any claims arising under the Maryland Franchise Registration and Disclosure Law must be brought within 3 years after the grant of the franchise.

Any provisions in the Disclosure Document or Franchise Agreement that require you to disclaim the occurrence of or acknowledge the non-occurrence of acts that would constitute a violation of the Maryland Franchise Registration and Disclosure Law are not intended to nor shall they act as a release, estoppel or waiver of any liability incurred under the Maryland Franchise Registration and Disclosure Law.

The general release required as a condition of renewal, sale, and/or assignment/transfer will not apply to any liability under the Maryland Franchise Registration and Disclosure Law.

MINNESOTA

To the extent the Minnesota Franchise Act, Minn. Stat. §§ 80C.01–80C.22 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Minnesota law, Minnesota law will apply.

Minnesota Statute 80C.21 and Minnesota Rule 2860.4400(J), prohibit us from requiring litigation to be conducted outside of Minnesota, requiring waiver of a jury trial, or requiring the franchisee to consent to liquidated damages, termination penalties or judgment notes. In addition, nothing in the Disclosure Document or agreement(s) can abrogate or reduce: (1) any of your rights as provided for in Minnesota Statute 80C.21; or (2) your rights to any procedure, forum, or remedies provided for by the laws of the jurisdiction.

Franchisee cannot consent to the franchisor obtaining injunctive relief. The franchisor may seek injunctive relief. See Minnesota Rule 2860.4400(J). A court will determine if a bond is required.

Item 17, Additional Disclosure(s):

With respect to franchises located in Minnesota or franchisees domiciled in 7 or citizens of 7 Minnesota, we will comply with Minnesota Statute 80C.14, subds. 3–5, which require, except in certain specified cases:

- That a franchisee be given 90 ~~days~~days' notice of termination (with 60 days to cure) and 180 ~~days~~days' notice for non-renewal of the franchise agreement; and
- That consent to the transfer of the franchise will not be unreasonably withheld.

Minnesota Rule 2860.4400(D) provides that any general release of claims that you may have against us, including without limitation, claims arising under federal, state, 1 and local laws and regulations shall exclude claims you may have under the Minnesota Franchise Act and the Rules and Regulations promulgated thereunder by the Commissioner of Commerce.

The limitations of claims section must comply with Minnesota Statute § 80C.17, subd. 5.

Minnesota considers it unfair to not protect a franchisee's right to use the trademarks. Minnesota Statute 80C.12, subd. 1(G) provides that we are required to protect any rights you may have to use the trademarks, service marks, trade names, logotypes 7 or other commercial symbols or indemnify the franchisee from any loss, costs 7 or expenses arising out of any claim, suit 7 or demand regarding the use of the same.

NEW YORK

To the extent the New York General Business Law, Article 33 7 §§ 680–695 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with New York law, New York law will apply.

Cover Page, Additional Disclosure(s):

INFORMATION COMPARING FRANCHISORS IS AVAILABLE. CALL THE STATE ADMINISTRATORS LISTED IN EXHIBIT E OR YOUR PUBLIC LIBRARY FOR SERVICES OR INFORMATION. REGISTRATION OF THIS FRANCHISE BY NEW YORK STATE DOES NOT MEAN THAT NEW YORK STATE RECOMMENDS IT OR HAS VERIFIED THE INFORMATION IN THIS FRANCHISE DISCLOSURE DOCUMENT. IF YOU LEARN THAT ANYTHING IN THIS FRANCHISE DISCLOSURE DOCUMENT IS UNTRUE, CONTACT THE FEDERAL TRADE COMMISSION AND THE APPROPRIATE STATE OR PROVINCIAL AUTHORITY. THE FRANCHISOR MAY, IF IT CHOOSES, NEGOTIATE WITH YOU ABOUT ITEMS COVERED IN THE FRANCHISE DISCLOSURE DOCUMENT. HOWEVER, THE FRANCHISOR CANNOT USE THE NEGOTIATING PROCESS TO PREVAIL UPON A PROSPECTIVE FRANCHISEE TO ACCEPT TERMS WHICH ARE LESS FAVORABLE THAN THOSE SET FORTH IN THIS FRANCHISE DISCLOSURE DOCUMENT.

Item 3, Additional Disclosure(s):

Except as provided above, with regard to the franchisor, its predecessor, a person identified in Item 2 7 or an affiliate offering franchises under the franchisor's principal trademark:

1. No such party has an administrative, criminal or civil action pending against that person alleging: a felony; a violation of a franchise, antitrust, or securities law; fraud; embezzlement; fraudulent conversion; misappropriation of property; unfair or deceptive practices; or comparable civil or misdemeanor allegations.
2. No such party has pending actions, other than routine litigation incidental to the business, which are significant in the context of 1: the number of franchisees and the size 7; nature or financial condition of the franchise system or its business operations.
3. No such party has been convicted of a felony or pleaded nolo contendere to a felony charge or 7 within the 10-year period immediately preceding the application for registration, has been convicted of or pleaded nolo contendere to a misdemeanor charge 1 or has been the subject of a civil action alleging: violation of a franchise, antifraud, or securities law; fraud; embezzlement; fraudulent conversion or misappropriation of property; or unfair or deceptive practices or comparable allegations.
4. No such party is subject to a currently effective injunctive or restrictive order or decree relating to the franchise, or under a Federal, State 7 or Canadian franchise, securities, antitrust, trade regulation or trade practice law, resulting from a concluded or pending action or proceeding brought by a public agency; or is subject to any currently effective order of any national securities association or national securities exchange, as defined in the Securities and Exchange Act of 1934, suspending or expelling such

person from membership in such association or exchange; or is subject to a currently effective injunctive or restrictive order relating to any other business activity as a result of an action brought by a public agency or department, including, without limitation, actions affecting a license as a real estate broker or sales agent.

Item 17, Additional Disclosure(s):

Item 17(c), 17(m): The following is added to the end of the “Summary” sections of Item 17(c), titled “**Requirements for franchisee to renew or extend**”, and Item 17(m), titled “**Conditions for franchisor approval of transfer**”: To the extent required by applicable law, all rights you enjoy and any causes of action arising in your favor from the provisions of Article 33 of the General Business Law of the State of New York and the regulations issued thereunder shall remain in force; it being the intent of this provision that the non-waiver provisions of General Business Law §§ 687(4) and 687(5) be satisfied.

Item 17(d): The following replaces the “Summary” section of Item 17(d), titled “**Termination by franchisee**”: You may terminate the agreement on any grounds available by law.

Item 17(v): The following is added to the end of the “Summary” sections of Item 17(v), titled “**Choice of forum**”, and Item 17(w), titled “**Choice of law**”: The foregoing choice of law should not be considered a waiver of any right conferred upon the franchisor or upon the franchisee by Article 33 of the General Business Law of the State of New York.

NORTH DAKOTA

To the extent the North Dakota Franchise Investment Law, N.D. Cent. Code, §§ 51-19-01–51-19-17 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with North Dakota law, North Dakota law will apply.

Item 17, Additional Disclosure(s):

THE NORTH DAKOTA SECURITIES COMMISSIONER HAS HELD THE FOLLOWING TO BE UNFAIR, UNJUST OR INEQUITABLE TO NORTH DAKOTA FRANCHISEES (N.D.C.C. § 51-19-09):

1. Restrictive Covenants: Franchise disclosure documents that disclose the existence of covenants restricting competition contrary to N.D.C.C. § 9-08-06, without further disclosing that such covenants will be subject to the statute.
2. Situs of Arbitration Proceedings: Franchise agreements providing that the parties must agree to the arbitration of the disputes at a location that is remote from the site of the ~~franchisees'~~franchisee's business.
3. Restriction on Forum: Requiring North Dakota franchisees to consent to the jurisdiction of courts outside of North Dakota.
4. Liquidated Damages and Termination Penalties: Requiring North Dakota franchisees to consent to liquidated damages or termination penalties.
5. Applicable Laws: Franchise agreements that specify they are to be governed by the laws of a state other than North Dakota.
6. Waiver of Trial by Jury: Requiring North Dakota franchisees to consent to the waiver of a trial by jury.
7. Waiver of Exemplary and Punitive Damages: Requiring North Dakota franchisees to consent to a waiver of exemplary and punitive damages.
8. General Release: Franchise agreements that require the franchisee to sign a general release upon renewal of the franchise agreement.
9. Limitation of Claims: Franchise agreements that require the franchisee to consent to a limitation of claims. The statute of limitations under North Dakota law applies.
10. Enforcement of Agreement: Franchise agreements that require the franchisee to pay all costs and expenses incurred by the franchisor in enforcing the agreement. The prevailing party in any enforcement action is entitled to recover all costs and expenses including attorney's fees.

RHODE ISLAND

To the extent the Rhode Island Franchise Investment Act, R.I. Gen. Law ch. 395 §§ 19-28.1-1—19-28.1-34 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Rhode Island law, Rhode Island law will apply.

Item 17, Additional Disclosure(s):

Rhode Island Franchise Investment Act § 19-28.1-14 provides that: “a provision in a franchise agreement restricting jurisdiction or venue to a forum outside this state or requiring the application of the laws of another state is void with respect to a claim otherwise enforceable under this Act.”

VIRGINIA

To the extent the Virginia Retail Franchising Act, Va. Code §§ 13.1-557—13.1-574 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Virginia law, Virginia law will apply.

Item 17, Additional Disclosure(s):

Any provision in any of the contracts that you sign with us which provides for termination of the franchise upon the bankruptcy of the franchisee may not be enforceable under federal bankruptcy law (11 U.S.C.A. § 101, et seq.).

Virginia Retail Franchising Act § 13.1-564 provides that it is unlawful for a franchisor to cancel a franchise without reasonable cause. If any grounds for default or termination stated in the franchise agreement does not constitute “reasonable cause,” as that term may be defined in the Virginia Retail Franchising Act or the laws of Virginia, that provision may not be enforceable.

WASHINGTON Addendum to the Franchise Agreement, Franchise Disclosure Document, Compliance Questionnaire, and Related Agreements

To the extent the Washington Franchise Investment Protection Act, Wash. Rev. Code §§ 19.100.010—19.100.940 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Washington law, Washington law will apply.

Item 17, Additional Disclosure(s):

In the event of a conflict of laws, the provisions of the Washington Franchise Investment Protection Act, Chapter 19.100 RCW shall prevail.

RCW 19.100.180 may supersede the franchise agreement in your relationship with the franchisor including the areas of termination and renewal of your franchise. There may also be court decisions which may supersede the franchise agreement in your relationship with the franchisor including the areas of termination and renewal of your franchise.

In any arbitration or mediation involving a franchise purchased in Washington, the arbitration or mediation site will be either in the state of Washington, or in a place mutually agreed upon at the time of the arbitration or mediation, or as determined by the arbitrator or mediator at the time of arbitration or mediation. In addition, if litigation is not precluded by the franchise agreement, a franchisee may bring an action or proceeding arising out of or in connection with the sale of franchises⁷ or a violation of the Washington Franchise Investment Protection Act, in Washington.

A release or waiver of rights executed by a franchisee may not include rights under the Washington Franchise Investment Protection Act or any rule or order thereunder except when executed pursuant to a negotiated settlement after the agreement is in effect and where the parties are represented by independent counsel. Provisions such as those which unreasonably restrict or limit the statute of limitations period for claims under the Act, or rights or remedies under the Act such as a right to a jury trial, may not be enforceable.

Transfer fees are collectable to the extent that they reflect the franchisor’s reasonable estimated or actual costs in effecting a transfer.

Franchisees who receive financial incentives to refer franchise prospects to franchisors may be required to register as franchise brokers under the laws of Washington.

Pursuant to RCW 49.62.020, a noncompetition covenant is void and unenforceable against an employee, including an employee of a franchisee, unless the employee's earnings from the party seeking enforcement, when annualized, exceed \$100,000 per year (an amount that will be adjusted annually for inflation). In addition, a noncompetition covenant is void and unenforceable against an independent contractor of a franchisee under RCW 49.62.030 unless the independent contractor's earnings from the party seeking enforcement, when annualized, exceed \$250,000 per year (an amount that will be adjusted annually for inflation). As a result, any provisions contained in the franchise agreement or elsewhere that conflict with these limitations are void and unenforceable in Washington.

RCW 49.62.060 prohibits a franchisor from restricting, restraining, or prohibiting a franchisee from: (i) soliciting or hiring any employee of a franchisee of the same franchisor; or (ii) soliciting or hiring any employee of the franchisor. As a result, any such provisions contained in the franchise agreement or elsewhere are void and unenforceable in Washington.

The franchisor may use the services of franchise brokers to assist it in selling franchises. A franchise broker represents the franchisor and is paid a fee for referring prospects to the franchisor and/or selling the franchise. Do not rely only on the information provided by a franchise broker about a franchise. Do your own investigation by contacting the franchisor's current and former franchisees to ask them about their experience with the franchisor.

WISCONSIN

To the extent the Wisconsin Franchise Investment Law, Wis. Stat. §§ 553.01–553.78 or Wisconsin Fair Dealership Law, Wis. Stat. §§ 135.01–135.07 applies, the terms of this Addendum apply. If any provisions of the Franchise Agreement or Franchise Disclosure Document are inconsistent with Wisconsin law, Wisconsin law will apply.

Item 17, Additional Disclosure(s):

The Wisconsin Fair Dealership Law applies to most, if not all, franchise agreements and prohibits the termination, cancellation, non-renewal or the substantial change of the competitive circumstances of a dealership agreement without good cause. The Law further provides that ninety (90) days prior written notice of a proposed termination, etc. must be given to the dealer. The dealer has sixty (60) days to cure the deficiency and if the deficiency is cured, the notice is void.

The Wisconsin Fair Dealership Law, Wis. Stat. Ch. 135 supersedes any provisions of the Franchise Agreement or the Disclosure Document, or a related contract, which are inconsistent with that Law.

ACKNOWLEDGMENT:

It is agreed that the applicable foregoing state law addendum, if any, supersedes any inconsistent portion of the Franchise Agreement and of the Franchise Disclosure Document, but only to the extent they are then valid requirements of an applicable and enforceable state law, and for only so long as such state law remains in effect.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

EXHIBIT C
LIST OF AFFILIATES

Entity	Principal Address
Advisory Capital Strategies Group Inc.	707 2nd Avenue South Minneapolis, MN 55474
AEXP Affordable Housing Portfolio, LLC	707 2nd Avenue South Minneapolis, MN 55474
American Enterprise Investment Services, Inc.	200 Ameriprise Financial Center Minneapolis, MN 55474
Ameriprise Advisor Capital, LLC	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise Advisor Financing, LLC	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise Asset Management Holdings GmbH	Zug, Canton of Zug Switzerland
Ameriprise Asset Management Holdings Hong Kong Limited	Unit 3004, Level 30, Two Exchange Square 8 Connaught Place, Central Hong Kong
Ameriprise Asset Management Holdings Singapore (Pte.) Ltd.	9 Battery Road #15-01 Straits Trading Building Singapore
Ameriprise Bank, FSB	707 2nd Avenue South Minneapolis, MN 55402
Ameriprise Capital Trusts I-IV	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise Captive Insurance Company	c/o Willis Management, 1 Lawson Lane Suite 410, Burlington, VT 05401
Ameriprise Certificate Company	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise Financial, Inc.	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise Holdings, Inc.	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise India Partner, LLC	707 2nd Avenue South Minneapolis, MN 55474
Ameriprise India LLP	Paharpur Business Centre 21 Nehru Place, New Delhi 110 019
Ameriprise International Holdings GmbH	Zug, Canton of Zug Switzerland
Ameriprise Trust Company	707 2nd Avenue South Minneapolis, MN 55474
AMPF Holding, LLC	707 2nd Avenue South Minneapolis, MN 55402
AMPF Property Corporation	707 2nd Avenue South Minneapolis, MN 55474
<u>Astraeus III FP LP</u>	<u>England & Wales</u>
<u>BMO AM Capital (Group) Limited</u>	<u>Cayman Islands</u>
<u>BMO AM Capital (Holdings) Limited</u>	<u>Cayman Islands</u>
<u>BMO AM Capital (UK) Limited</u>	<u>England & Wales</u>
<u>BMO AM Group (Holdings) Limited</u>	<u>England & Wales</u>
<u>BMO AM Group (Management) Limited</u>	<u>England & Wales</u>
<u>BMO AM Holdings Limited</u>	<u>England & Wales</u>
<u>Ameriprise Financial Services, LLC – FDD</u>	

<u>BMO AM Investment Services Limited</u>	<u>England & Wales</u>
<u>BMO AM Multi-Manager LLP</u>	<u>England & Wales</u>
<u>BMO AM Treasury Limited</u>	<u>England & Wales</u>
<u>BMO Asset Management (Holdings) plc</u>	<u>Scotland</u>
<u>BMO Asset Management Limited</u>	<u>England & Wales</u>
<u>BMO Asset Managers Limited</u>	<u>England & Wales</u>
<u>BMO Asset Management Luxembourg S.A.</u>	<u>Luxembourg</u>
<u>BMO Asset Management Netherlands B.V.</u>	<u>Netherlands</u>
<u>BMO Asset Management (Services) Limited</u>	<u>Scotland</u>
<u>BMO Astraeus III FP LP</u>	<u>England & Wales</u>
<u>BMO Astraeus III GP LLP</u>	<u>England & Wales</u>
<u>BMO FCIT PE FP LP</u>	<u>Scotland</u>
<u>BMO Fund Management Limited</u>	<u>England & Wales</u>
<u>BMO Global Asset Management (Asia) Limited</u>	<u>Hong Kong</u>
<u>BMO Global Asset Management (Europe) Limited</u>	<u>England & Wales</u>
<u>BMO Global Asset Management (Swiss) GmbH</u>	<u>Switzerland</u>
<u>BMO Investment Business Limited</u>	<u>Scotland</u>
<u>BMO Managers Limited</u>	<u>England & Wales</u>
<u>BMO PE Co-Investment GP LP</u>	<u>Scotland</u>
<u>BMO PE Co-Investment GP LLP</u>	<u>Scotland</u>
<u>BMO Portugal, Gestao de Patrimonios, S.A.</u>	<u>Portugal</u>
<u>BMO Real Estate Partners GmbH & Co. KG, Munchen</u>	<u>Germany</u>
<u>BMO Real Estate Partners LLP</u>	<u>England & Wales</u>
<u>BMO Real Estate Partners Verwaltungsgesellschaft mbH, Munchen (General Partner)</u>	<u>Germany</u>
<u>BMO Real Partners S.a.r.l.</u>	<u>Luxembourg</u>
<u>BMO REP Asset Management plc</u>	<u>England & Wales</u>
<u>BMO REP (Corporate Services) Limited</u>	<u>England & Wales</u>
<u>BMO REP Property Management Limited</u>	<u>England & Wales</u>

<u>BMO UK Residential Real Estate FCP -RAIF (Associate)</u>	<u>England & Wales</u>
<u>BMO Unit Trust Managers Limited</u>	<u>England</u>
Cash Flow Asset Management GP, LLC	712 Main Street, Suite 2500 Houston, TX 77002
Cash Flow Asset Management, L.P.	712 Main Street, Suite 2500 Houston, TX 77002
<u>Castle Mount Impact Partners GP LLP</u>	<u>England & Wales</u>
Columbia Cent CLO Advisers, LLC	707 2nd Avenue South Minneapolis, MN 55474
Columbia Management Investment Advisers, LLC	225 Franklin Street Boston, MA 02110
Columbia Management Investment Distributors, Inc.	225 Franklin Street Boston, MA 02110

Entity	Principal Address
Columbia Management Investment Services Corp.	225 Franklin Street Boston, MA 02110
<u>Columbia Threadneedle Foundation</u>	<u>England & Wales</u>
<u>Columbia Threadneedle Investments Japan Co., Ltd.</u>	<u>Japan</u>
<u>Columbia Threadneedle Investments (ME) Limited</u>	<u>Dubai</u>
<u>Columbia Threadneedle Investments UK International Limited</u>	<u>England & Wales</u>
Columbia Threadneedle Malaysia Sdn. Bhd.	Unit 14-1, Level 14, Wisma UOA Damansara 11, No. 6 Jalan Changkat Semantan Damansara Heights, Malaysia
Columbia Wanger Asset Management, LLC	227 West Monroe, Suite 3000 Chicago, IL 60606-5016
<u>Convivo Asset Management Limited</u>	<u>England & Wales</u>
CREAD Special VAD Limited Partner, LLC	712 Main Street, Suite 2500 Houston, TX 77002
<u>CTM Holdings Limited</u>	<u>Malta</u>
Emerging Global Advisors, LLC	707 2nd Avenue South Minneapolis, MN 55474
<u>F&C Alternative Investments (Holdings) Limited</u>	<u>England & Wales</u>
<u>F&C Aurora (GP) Limited</u>	<u>Scotland</u>
<u>F&C (CI) Limited</u>	<u>England & Wales</u>
<u>F&C Climate Opportunity Partners (Founder Partner) LP</u>	<u>Scotland</u>
<u>F&C Climate Opportunity Partners (GP) Limited</u>	<u>Scotland</u>
<u>F&C Climate Opportunity Partners (GP) LP</u>	<u>Scotland</u>
<u>F&C Emerging Markets Limited</u>	<u>England & Wales</u>
<u>F&C Equity Partners Holdings Limited</u>	<u>England & Wales</u>
<u>F&C Equity Partners plc</u>	<u>England & Wales</u>
<u>F&C European Capital Partners (Founder Partner) LP</u>	<u>Scotland</u>
<u>F&C European Capital Partners (GP) Limited</u>	<u>Scotland</u>
<u>F&C European Capital Partners II (Founder Partner) LP</u>	<u>Scotland</u>

<u>F&C European Capital Partners II (GP) Limited</u>	<u>Scotland</u>
<u>F&C European Capital Partners II (GP) LP</u>	<u>Scotland</u>
<u>F&C Finance plc</u>	<u>England & Wales</u>
<u>F&C Group ESOP Trustee Limited</u>	<u>Scotland</u>
<u>F&C Investment Manager plc</u>	<u>England & Wales</u>
<u>F&C Ireland Limited</u>	<u>Ireland</u>
<u>F&C Private Equity Nominee Limited</u>	<u>England & Wales</u>
<u>F&C REIT Corporate Finance Limited</u>	<u>England & Wales</u>
<u>F&C Unit Management Limited</u>	<u>England & Wales</u>
<u>FCEM Holdings (UK) Limited</u>	<u>England & Wales</u>
<u>FOSCA II Manager S.a.r.l.</u>	<u>Luxembourg</u>
<u>FP Asset Management Holdings Limited</u>	<u>England & Wales</u>
GA Legacy, LLC	225 Franklin Street Boston, MA 02110
Houston BBP, L.P.	712 Main Street, Suite 2500 Houston, TX 77002
Investment Professionals, Inc.	261 E. Rosewood San Antonio, TX 78212
Investors Syndicate Development Corporation	One East Street Reno, NV 89501
<u>Ivory & Sime (Japan) KK</u>	<u>Japan</u>
<u>Ivory & Sime Limited</u>	<u>Scotland</u>
J. & W. Seligman & Co. Incorporated	100 Park Avenue New York, NY 10017
<u>LGM Investments Limited</u>	<u>England & Wales</u>
Lionstone Advisory Services, LLC	712 Main Street, Suite 2500 Houston, TX 77002
Lionstone BBP Limited Partner, LLC	712 Main Street, Suite 2500 Houston, TX 77002
Lionstone CFRE II Real Estate Advisory, LLC	712 Main Street, Suite 2500 Houston, TX 77002
Lionstone Development Services, LLC	712 Main Street, Suite 2500 Houston, TX 77002
Lionstone Partners, LLC	712 Main Street, Suite 2500 Houston, TX 77002
<u>Lionstone Raleigh Development Partners GP, LLC</u>	<u>712 Main Street, Suite 2500 Houston, TX 77002</u>

<u>Lionstone Raleigh Development Partners, LP</u>	<u>712 Main Street, Suite 2500 Houston, TX 77002</u>
Lionstone US Value-Add Five, L.P.	712 Main Street, Suite 2500 Houston, TX 77002
Lionstone VA Five, LLC	712 Main Street, Suite 2500 Houston, TX 77002
<u>LPE II (Founding Partner) LP</u>	<u>Scotland</u>
LPL 1111 Broadway GP, LLC	712 Main Street, Suite 2500 Houston, TX 77002
LPL 1111 Broadway, L.P.	712 Main Street, Suite 2500 Houston, TX 77002
<u>Pyrford International Limited</u>	<u>England & Wales</u>
<u>REIT Asset Management Limited</u>	<u>England & Wales</u>
RiverSource CDO Seed Investments, LLC	707 2nd Avenue South Minneapolis, MN 55474
RiverSource Distributors, Inc.	707 2nd Avenue South Minneapolis, MN 55474
RiverSource Life Insurance Co. of New York	20 Madison Avenue Extension Albany, NY 12203
RiverSource Life Insurance Company	227 Ameriprise Financial Center Minneapolis, MN 55474
RiverSource NY REO, LLC	20 Madison Avenue Extension Albany, NY 12203
RiverSource REO 1, LLC	227 Ameriprise Financial Center Minneapolis, MN 55474
<u>Entity</u>	<u>Principal</u>
RiverSource Tax Advantaged Investments, Inc.	707 2nd Avenue South Minneapolis, MN 55474
<u>Sackville (CTESIF) 2&3 GP Sarl</u>	<u>Luxembourg</u>
<u>Sackville LCW (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville LCW Nominee 1 Limited</u>	<u>England & Wales</u>
<u>Sackville LCW Nominee 2 Limited</u>	<u>England & Wales</u>
<u>Sackville LCW Nominee 3 Limited</u>	<u>England & Wales</u>
<u>Sackville LCW Nominee 4 Limited</u>	<u>England & Wales</u>
<u>Sackville LCW Sub LP 1 (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville LCW Sub LP 2 (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville Property Atlantic (Jersey GP) Limited</u>	<u>Jersey</u>
<u>Sackville Property Curtis (Jersey GP) Limited</u>	<u>Jersey</u>

<u>Sackville Property Dunsfold (Jersey GP) Limited</u>	<u>Jersey</u>
<u>Sackville Property (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville Property Hayes (Jersey GP) Limited</u>	<u>Jersey</u>
<u>Sackville Property St James (Jersey GP) Limited</u>	<u>Jersey</u>
<u>Sackville Property Tower (Jersey GP) Limited</u>	<u>Jersey</u>
<u>Sackville Property Victoria (Jersey GP) Limited</u>	<u>Jersey</u>
<u>Sackville SPF IV (GP) No. 1 Limited</u>	<u>England & Wales</u>
<u>Sackville SPF IV (GP) No. 2 Limited</u>	<u>England & Wales</u>
<u>Sackville SPF IV (GP) No. 3 Limited</u>	<u>England & Wales</u>
<u>Sackville SPF IV Property (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville Tandem Property (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville TIPP Property (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville TPEN Property (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville TSP Property (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC1 Leeds (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC1 Leeds Nominee 1 Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC1 Leeds Nominee 2 Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC2 Galahad (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC3 Croxley (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC3 Croxley Nominee 1 Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC3 Croxley Nominee 2 Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC4 Brentford (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC6 Hayes Nominee 1 Limited</u>	<u>Jersey</u>
<u>Sackville UKPEC6 Hayes Nominee 2 Limited</u>	<u>Jersey</u>
<u>Sackville UKPEC7 Tower Nominee 1 Limited</u>	<u>Jersey</u>
<u>Sackville UKPEC7 Tower Nominee 2 Limited</u>	<u>Jersey</u>

<u>Sackville UKPEC9 St James Nominee 1 Limited</u>	<u>England & Wales</u>
<u>Sackville UKPEC9 St James Nominee 2 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II (GP) Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II (GP) No. 1 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II (GP) No. 2 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II (GP) No. 3 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III (GP) No. 1 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III (GP) No. 2 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III (GP) No. 3 Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II Nominee (1) Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II Nominee (2) Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select II Nominee (3) Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III Nominee (1) Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III Nominee (2) Limited</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III Nominee (3) Ltd</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III Nominee (4) Ltd</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III Nominee (5) Ltd</u>	<u>England & Wales</u>
<u>Sackville UK Property Select III Nominee (6) Ltd</u>	<u>England & Wales</u>
Seligman Partners, LLC	100 Park Avenue New York, NY 10017
<u>TAM Investment Limited</u>	<u>England & Wales</u>
<u>TAM UK Holdings Limited</u>	<u>England & Wales</u>
TAM UK International Holdings Limited	60 St Mary Axe London EC3A 8JQ England
<u>TC Financing Limited</u>	<u>England & Wales</u>
<u>Thames River Capital Family Benefit Trust</u>	<u>England & Wales</u>
<u>Thames River Capital LLP</u>	<u>England & Wales</u>
<u>The Aurora Fund (Founder Partner) LP</u>	<u>Scotland</u>

<u>Threadneedle Asset Management Finance Limited</u>	<u>England & Wales</u>
<u>Threadneedle Asset Management Holdings Limited</u>	<u>England & Wales</u>
Threadneedle Asset Management Holdings Sàrl	60 St Mary Axe London EC3A 8JQ England
<u>Threadneedle Asset Management Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Asset Management (Nominees) Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
Threadneedle Asset Management Oversight Limited	60 St Mary Axe London EC3A 8JQ England
<u>Threadneedle Capital Management Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
Threadneedle EMEA Holdings 1, LLC	707 2nd Avenue South Minneapolis, MN 55474
<u>Threadneedle Holdings Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle International Fund Management Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle International Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Investment Advisors Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Investment Services Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Investments (Channel Islands) Limited</u>	<u>Jersey</u>
<u>Threadneedle Investments Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
Threadneedle Investments Singapore (Pte.) Ltd.	Republic of Singapore
<u>Threadneedle Management Luxembourg S.A.</u>	<u>Luxembourg</u>
<u>Threadneedle Management Services Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Navigator ISA Manager Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Pensions Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Pension Trustees Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Portfolio Managers Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Portfolio Services AG</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
Threadneedle Portfolio ServicesHong Kong Limited	21/F ICBC, Citibank Plaza, Central Hong Kong
<u>Threadneedle Portfolio Services Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Property Execution 1 Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>

<u>Threadneedle Property Execution 2 Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Property Investments Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Securities Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>Threadneedle Unit Trust Manager Limited</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>
<u>TMS Investment Limited</u>	<u>Jersey</u>
<u>WAM Holdings Ltd</u>	<u>60 St Mary Axe</u> <u>London EC3A 8JQ England</u>

EXHIBIT D
CONFIDENTIALITY AGREEMENT

Ameriprise Financial Services, LLC ("Ameriprise Financial", "we", "our" or "us") would like to share certain information contained in certain manuals which may be considered trade secret, proprietary, sensitive, and/or confidential ~~and/or sensitive~~ (collectively, "Confidential Information") with you (~~you~~ or "your").

To ensure the protection of such Confidential Information and in consideration of the agreement to provide information, the parties hereby agree as follows:

1. The Confidential Information we are providing to you is for the sole purpose of allowing you to evaluate the professional standards under which you would be required to operate the Independent Financial Advisor Business if you execute the Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement.
2. Neither this Agreement, nor the providing of information hereunder, will be construed as creating, conveying, transferring, granting or conferring upon you, any rights, license or authority in or to the information provided.
3. In maintaining confidentiality hereunder, you agree that you shall not, without first obtaining the written consent of Ameriprise Financial, disclose or make available to any person, firm or enterprise, reproduce or transmit, or, except for the express purpose of evaluating the professional standards under which you would be required to operate the Independent Financial Advisor Business, use ~~(directly or indirectly)~~ for your own benefit or the benefit of others, any Confidential Information.
4. You agree that your own use and/or distribution of the Confidential Information shall be limited to your accountant ~~or~~ attorney or other personal consultant on a "need to know" basis.
5. Our "Confidential Information" includes, but is not necessarily limited to: the minimum standards regarding Quality of Advice, Client Satisfaction, Compliance, Quality of Advice, and the Code of Conduct, as well as standards regarding ~~the use of Proprietary Marks, signage, communications and, compensation, processing procedures and compensation, signage, and use of the Proprietary Marks.~~
6. Both Parties acknowledge and agree that the providing of information hereunder shall not bind or commit ~~or bind~~ either party to enter into a contract. You shall not rely on any information provided as a commitment or an inducement to act or not to act in any given manner. Correspondingly, we shall not be liable to you in any manner whatsoever for any decisions, obligations, costs or expenses incurred, changes in business practices, plans, organization, products, services, or otherwise, based on your decision to use or rely on any information provided hereunder.
7. Each party agrees that if there is a breach or threatened breach of the provisions of this Agreement, Ameriprise Financial will have no adequate remedy in money or damages, and accordingly, shall be entitled to injunctive relief; provided, however, no specification in this Agreement of any particular remedy shall be construed as a waiver or prohibition of any other remedies in the event of a breach or threatened breach of this Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement as of the date written below.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

EXHIBIT E
STATE ADMINISTRATORS AND AGENTS FOR SERVICE OF PROCESS

CALIFORNIA

CALIFORNIA

California Commissioner of Corporations
California Department of Financial Protection
& Innovation
320 West 4th Street, Suite 750
Los Angeles, CA 90013-2344
213-576-7500

HAWAII

Hawaii Commissioner of Securities
~~Dept. Department~~ of Commerce and
Consumer Affairs Business Registration
Division
335 Merchant Street, Room 205
Honolulu, HI 96813

ILLINOIS

Illinois Attorney General ~~500 South Second
Street Springfield, IL 62701~~
500 South Second Street
Springfield, IL 62701

INDIANA (STATE ADMINISTRATOR)

Indiana Securities Commissioner
Securities Division
302 West Washington Street, Room E111
Indianapolis, IN 46204

INDIANA (AGENT)

Indiana Secretary of State
200 West Washington Street, Room 201
Indianapolis, IN 46204

MARYLAND (STATE ADMINISTRATOR)

Office of the Attorney General ~~Division of
Securities~~
Division of Securities
200 St. Paul Place
Baltimore, MD 21202-2020

MARYLAND (AGENT)

Maryland Securities Commissioner
200 St. Paul Place
Baltimore, MD 21202-2020

MICHIGAN

Michigan Department of Attorney General
Consumer Protection Division
G. Mennen Williams Building, 1st Floor
525 West Ottawa Street
Lansing, MI 48933

MINNESOTA

Minnesota Commissioner of Commerce
Minnesota Department of Commerce ~~85 7th
Place East, Suite 280~~
85 7th Place East, Suite 280
St. Paul, MN 55101-2198

NEW YORK (STATE ADMINISTRATOR)

NYS Department of Law
Investment Protection Bureau
28 Liberty Street, 15th Floor
New York, NY 10005
212-416-8236

NEW YORK (AGENT)

New York Secretary of State
New York Department of State One Commerce Plaza
99 Washington Avenue, 6th Floor
Albany, NY 12231-001
518-473-2492

NORTH DAKOTA

North Dakota Securities Commissioner
North Dakota Securities Department
600 East Boulevard Avenue, 5th Floor
Bismarck, ND 58505-0510

RHODE ISLAND

Rhode Island Director of Department of Business
Regulation
Securities Division
1511 Pontiac Avenue, Building 69-2
Cranston, RI 02920

SOUTH DAKOTA

South Dakota Director of the Division of Securities
Division of Insurance-Securities Regulation
124 S. Euclid Avenue, 2nd Floor
Pierre, SD 57501

VIRGINIA (STATE ADMINISTRATOR)

State Corporation Commission
Division of Securities and Retail Franchising
1300 East Main Street, 9th Floor
Richmond, VA 23219-3630
804-371-9051

VIRGINIA (AGENT)

Clerk of Virginia State Corporation Commission
1300 East Main Street, 1st Floor
Richmond, VA 23219-3630

WASHINGTON

Washington Director of Financial Institutions
Securities Division ~~150 Israel Road SW Tumwater, WA
98501~~
150 Israel Road SW
Tumwater, WA 98501
360-902-8760

WISCONSIN

Wisconsin Administrator of Division of Securities,
Department of Financial Institutions
4822 Madison Yards Way, North Tower
Madison, WI 53705

If a state is not listed, Ameriprise Financial has not appointed an agent for service of process in that state, as required under certain franchise laws. There may be states, in addition to those listed above, in which Ameriprise Financial has appointed an agent for service of process, and there may also be additional agents appointed in some of the states listed.

EXHIBIT F

INDEPENDENT ~~FINANCIAL~~ ADVISOR COMPLIANCE CERTIFICATION

By initialing each item and signing below, I acknowledge:

- _____ 1. I have received, reviewed, and understand all of the terms of the Independent Advisor Business Franchise Agreement; ~~("Agreement")~~.
- _____ 2. I have personally reviewed and understand all of the information in Ameriprise Financial Services, LLC's ("Ameriprise Financial") Franchise Disclosure Document ("FDD") and any applicable state specific Addendum to the FDD;.
- _____ 3. I have had the FDD for fourteen (14) calendar days and the execution copy of the Independent Advisor Business Franchise Agreement for seven (7) calendar days;.
- _____ 4. I understand that Ameriprise Financial may terminate the Independent Advisor Business Franchise Agreement or refuse to renew it if I do not meet certain performance standards;.
- _____ 5. I have signed the Independent Advisor Business Franchise Agreement and Addendum (if any) on _____, _____, and I acknowledge that no Agreement or Addendum is effective until signed and dated by Ameriprise Financial;.
- _____ 6. I understand that this is a highly competitive business, that I have no exclusive territory or customers, that among my competitors will be other businesses which Ameriprise Financial operates and/or are affiliated with Ameriprise Financial, as well as other franchisees;.
- _____ 7. I understand that Ameriprise Financial's affiliates also sell the same or similar products and services that I will be selling through other distribution channels, including national media, direct marketing, telemarketing, online services, brokers, dealers, agents, independent dealers, and franchised offices;.
- _____ 8. To the extent I am an existing/past employee of Ameriprise Financial, during the course of my relationship with Ameriprise Financial, I may have received ~~over the years~~ various documents and information ~~and documents relating to~~ regarding revenues, expenses, and profits relating to the Independent ~~Ameriprise~~ Financial Advisor Business. I understand that such information was of a generic nature and did not relate to my specific circumstances or those of any other Ameriprise financial advisor; nor was the information designed to permit me to make any determination of my future financial performance as an Ameriprise Financial franchisee. I have not relied on any of this information in reaching my decision to purchase this franchise;.
- _____ 9. I understand that, to the extent an existing franchisee or other representative has referred me to Ameriprise Financial, I have not received from them any oral or written information concerning actual or potential sales, income, or profits of an Independent Advisor; ~~and~~.
- _____ 10. To the extent I have received from Ameriprise Financial a business planning guide or similar tool, such as a tool in the "Value of Choice Tool Suite." I have independently determined all financial variables necessary to complete the tables in that guide and to estimate my potential performance as an Independent Advisor. I have not received any direction or assistance from an Ameriprise Financial representative in determining those financial variables.

Independent Advisor

By: _____

Name: _____

Title: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

EXHIBIT G
FRANCHISE CONSULTING SERVICES AGREEMENT

Independent Advisors and Franchise Consultants are required to enter into a written agreement setting forth franchise consulting services and fees. This agreement is a template designed to stimulate your thought process as you customize your own agreement. You should consider consulting with an attorney about your agreement. This agreement is between the Independent Advisor and Franchise Consultant only; Ameriprise Financial Services, LLC is not a party to this agreement.

Franchise Consulting Services Agreement

This Franchise Consulting Services Agreement ("Agreement") is made between _____ ("Franchise Consultant") and _____ ("Independent Advisor").

WHEREAS, Franchise Consultant is an Independent Advisor/Franchisee of Ameriprise Financial Services, LLC ("Ameriprise Financial") and is also engaged in the business of providing Franchise Consulting Services ("Services"), as described below, to other Independent Advisors of Ameriprise Financial. The undersigned is an Independent Advisor/Franchisee of Ameriprise Financial and wishes to engage Franchise Consultant for the Services noted below from Franchise Consultant.

In mutual consideration of the terms set forth in this Agreement, and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, and agreed as follows:

1. **Franchise Consulting Services.** Franchise Consultant will collaborate with Field Leadership and the Independent Advisor to provide appropriate support in the following areas:
 - Business and marketing planning support
 - Four annual professional coaching sessions
 - Succession planning support to help ensure continuity of client experience
 - Support recruiting and "on-boarding" franchisee advisors new to the firm
 - Integration of franchise programs and assimilate franchise priorities, including:
 - Consistent client experience
 - Affluent client acquisition
 - Financial planning as a way of doing business
2. **Compensation of Franchise Consultant.** The fee for these Services and support will be _____% of the Independent Advisor's GDC and will be paid as an ongoing compensation percentage split through the systems of Ameriprise Financial Services, LLC, the franchisor.

~~--- And/Or ---~~

The fee for these Services and support will be \$ _____ per service period paid by Independent Advisor which will be paid through the systems of Ameriprise Financial through Independent Advisor's compensation statement. (Please note: The minimum is \$2,400/year.)

3. **Term of the Agreement.** The term of this Agreement shall be good until cancelled and may be terminated by either party with at least 30 days' notice in writing at any time for any reason.
4. **Taxes.** Franchise Consultant and Independent Advisor understand and agree that Franchise Consultant will be solely and completely responsible for any and all income taxes due and owing to any governmental entity on any compensation received for Franchise Consultant Services from Independent Advisor under this Agreement.
5. **Assignment.** Neither this Agreement nor any interest herein may be assigned by either Franchise Consultant or Independent Advisor.
~~Independent Advisor.~~
6. **Governing Law.** This Agreement shall be governed by the laws of the State of ____ (State) and applicable federal, state, FINRA (and other applicable Self-regulatory Organizations), and insurance laws, rules and regulations. Any dispute arising out of this Agreement shall, to the extent required or allowed under the rules, constitutions, or by-laws of FINRA as they may be amended from time-to-time, be arbitrated in accordance with the policies and procedures established by FINRA.
7. **Modifications.** This Agreement shall be amended or modified only in writing signed by both Franchise Consultant and Independent Advisor.
~~and Independent Advisor.~~

8. **Severability**. Should any clause, portion or paragraph of this Agreement be unenforceable or invalid for any reason, such unenforceability or invalidity shall not affect the enforceability or validity of the remainder of this Agreement.
9. **Prior Agreement**. This Agreement constitutes the entire agreement of the parties on the issue of Franchise Consultant's provision of Franchise Consulting Services. Any and all prior agreements between the parties concerning the provision of any leadership, Branch Manager leadership or consulting services are hereby superseded and canceled.
10. **Effective Date**. The effective date of this Agreement is ____ (Date - Wednesday after a Service Period cut-off).

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement in duplicate on the date first above written:

Independent Advisor

Franchise Consultant

Signature: _____

Signature: _____

Printed Name: _____

Printed Name: _____

Date: _____

Date: _____

Advisor No.: _____

Advisor No.: _____

EXHIBIT H
PROMISSORY NOTE

1. FOR VALUE RECEIVED, the undersigned (hereinafter the “Independent Advisor”) promises to pay to the order of “Ameriprise Financial Services, LLC” (hereinafter “Ameriprise”) the principal sum of (principal loan amount) plus interest which is payable at a rate equal to one quarter point more than the semi-annual mid-term Applicable Federal Rate as defined in Section 1274 (d) of the Internal Revenue Code of 1986, as amended, compounded annually, determined as of the date the loan is made (the “Applicable Rate”). The current Applicable Federal Rate is % making the total interest rate for the purpose of this loan %. In the event of a default by Independent Advisor on this loan, or the obligations described herein, as allowable by applicable law, the interest rate effective for the period beginning the date of default shall convert to the maximum rate allowable by applicable law. This agreement shall be referred to as the “Agreement” or “Note.”

However, in no event shall the amount of interest due or payment in the nature of interest payable hereunder exceed the maximum rate of interest allowed by applicable law, as amended from time to time, and in the event any such payment is paid by the undersigned or received by Ameriprise, then such excess sum shall be credited as a payment of principal, unless the undersigned shall notify Ameriprise, in writing, that the undersigned elects to have such excess sum returned to it forthwith.

Principal and interest shall be due and payable in monthly installments of \$_____ for years on the second paydate Friday of each month starting the second month of this loan.

2. If Independent Advisor’s Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement (the “Franchise Agreement”) terminates for any reason including, but not limited to, death, resignation, sale of franchise in whole or in part, or if Independent Advisor becomes insolvent, files for bankruptcy while affiliated with Ameriprise, the unpaid balance of the principal sum, plus accrued interest, shall be due and payable as of the date of any of the above described events. Further, any incident of breach or default by Independent Advisor of any other Agreements or obligations of Independent Advisor to Ameriprise, including but not limited to, maintaining proper licensure and complying with all applicable laws and regulations, as well as complying with Ameriprise policies and Code of Conduct, may also serve as a default to this Agreement at Ameriprise’s sole discretion.
- A. ~~2A.~~ In the event that Independent Advisor becomes employed or affiliated with a subsequent employer, associated firm, broker-dealer or Registered Investment Advisor after default on this Note or while any amounts are still outstanding on this Note, Independent Advisor agrees to promptly inform such subsequent employer, associated firm, broker-dealer or Registered Investment Advisor of the outstanding Note amounts due and consents to permit Ameriprise to also inform Independent Advisor’s new employer, associated firm, broker- dealer or Registered Investment Advisor of the outstanding debt and Note.
- B. ~~2B.~~ In the event of default, Independent Advisor grants to Ameriprise a limited power of attorney to act on Independent Advisor’s behalf to make a legally enforceable request to any subsequent employer, associated firm, broker-dealer or Registered Investment Advisor who may provide to Independent Advisor a subsequent bonus or loan for payment of such bonus or loan in full or in part to Ameriprise in amounts sufficient to satisfy any outstanding obligations on the Note. Independent Advisor also agrees that any subsequent bonus or loan from a subsequent employer, associated firm, broker-dealer or Registered Investment Advisor may be subject to a lien for the discharge of any indebtedness or obligations under this Note.
3. All or any portion of unpaid principal and accrued interest may be prepaid at any time without premium or fee. Independent Advisor expressly requests and consents that any amounts due or owing on loans from Ameriprise be deducted from Independent Advisor’s compensation.
4. Independent Advisor hereby represents and warrants that the proceeds of the loan evidenced by this Note are advanced as a result of commercial activity, are based upon business metrics, and are intended to assist Independent Advisor in continuing to achieve similar commercial performance to the degree that such performance is in the interest of the customers of Ameriprise.
5. Independent Advisor hereby agrees that Ameriprise may assign the obligations and/or benefits of this Note to any other party without the consent of, or notice to, the Independent Advisor, and such assignment shall transfer the obligations and/or benefits under this Note to such assignee. Franchisee may not assign the obligations and/or benefits of this Note.

6. Independent Advisor agrees that any dispute arising between the parties to this Agreement (including but not limited to Independent Advisor's default on the loan) shall be subject to arbitration pursuant to the FINRA Code of Arbitration Procedure for Industry Disputes.
- A. ~~6A.~~ To the extent any dispute is arbitrated pursuant to the FINRA Code of Arbitration Procedure for Industry Disputes, Independent Advisor agrees to expedite such arbitration and hearing on the Note to the fullest extent possible pursuant to the applicable Code of Arbitration Procedure.
 - B. ~~6B.~~ In the event that Independent Advisor is in default with respect to the Note, Independent Advisor hereby irrevocably authorizes and empowers FINRA to enter an award against Independent Advisor on an expedited basis and in favor of Ameriprise, its representatives and assigns, for which this Agreement, or a true copy hereof, shall be a sufficient warrant, at any time or times after default, and as any term, for the whole or any part of said amounts, with or without declaration, with collection fees and costs of suit, without stay of execution, and with attorney's fees and costs. The authority herein granted to enter the award shall not be exhausted by any exercise, thereof, but shall continue from time to time and at all times until full payment of all said amounts. Independent Advisor hereby waives and releases all errors, defects, imperfections, appeals, and any stay of execution in any proceedings instituted by Ameriprise under this Agreement. Independent Advisor waives the benefit of any laws or rules of court now or hereafter in effect relating to exemption, appraisal, stay of execution, or other relief from the entry of an award.
7. Independent Advisor also hereby authorizes Ameriprise to directly apply any bonuses, commissions or other payments earned from Ameriprise against payments due on loans.
~~payments earned from Ameriprise against payments due on loans.~~
- A. ~~7A.~~ In the event of default, to the extent permitted by law, Independent Advisor authorizes Ameriprise to place pend status on, restrict transfers, hold as security, or subject to a lien any property, securities, or funds in which Independent Advisor has a direct or indirect interest that are held in any brokerage, deposit, or other account at Ameriprise or its affiliates, including but not limited to any cash management account (other than deferred compensation as defined in Section 409A of the Internal Revenue Code and any related regulations and guidance, as the same may be amended from time to time). If Independent Advisor's repayment obligations are not satisfied in full when due, Ameriprise shall be entitled, to the extent permitted by law, to liquidate any property, securities, or funds in such accounts or investments and use the proceeds to set off any amounts owed. This right to set off is in addition to, and not in limitation of, any right Ameriprise may have at law or otherwise.
 - B. ~~7B.~~ Ameriprise's right to recover all amounts due under this Note shall not be limited to recovery from Independent Advisor's accounts as this Note is a full recourse Note against Independent Advisor who shall be personally liable for repayment of the Note.
 - C. ~~7C.~~ In furtherance hereof, and as security for the repayment of all amounts due under this Note to Ameriprise including expenses and attorney's fees, Independent Advisor hereby assigns to Ameriprise and grants to Ameriprise a security interest in all of Independent Advisor's right, title, and interest in any sums received or to be received whether now owing or hereafter arising from any future employer or other party which provides Independent Advisor with any form of compensation or contingent compensation commonly referred to as a forgivable loan, loan, bonus, up-front loan, transitional compensation, transitional loan, recruiting bonus, promissory note amount, or account (as defined in Article 9 of the applicable Uniform Commercial Code ("UCC") or any other sum or payment of every nature, type or description granted or provided to Independent Advisor or for Independent Advisor's benefit as a result of accepting employment or other arrangement with such employer or party. In addition, Independent Advisor hereby agrees to execute upon the request of Ameriprise any documents requested by Ameriprise including, but not limited to, control agreements as defined in the UCC in such form and containing such terms and conditions as Ameriprise shall require, and Independent Advisor hereby authorizes Ameriprise (i) to file all documents, including, without limitation, a UCC financing statement, in such offices or with such parties as Ameriprise deems necessary or appropriate to perfect such security interest, and (ii) to notify such employer or other party of the assignment and security interest granted herein and to require that such employer or other party pay all amounts subject to the assignment and security interest described herein directly to Ameriprise whether or not is in default under the terms of this Note.
8. Independent Advisor understands and agrees that in the event of default in payment of any amount due hereunder, Ameriprise Financial shall have the right, without notice, to exercise its rights to initiate suit

or other action to collect on this Note.

9. Independent Advisor hereby waives demand, presentment, notice of nonpayment and protest, and agrees to pay all costs of collection, whether or not suit or action is filed hereon, in the event that payment is not made in accordance with the provisions of this Note. The costs of collection shall include but are not limited to reasonable attorney's fees for collection efforts before commencing any legal proceeding, in arbitration, at trial, and on appeal. If a suit or action is filed, or if arbitration is commenced, the amount of such reasonable attorney's fees shall be fixed by the arbitrator or court(s) in which the matter is tried, heard or decided, including any petition or appeal thereon.
10. The provisions of this Agreement shall be governed by and construed in accordance with the laws of the state of New York, without reference to the principles of choice of law thereof, unless this requirement is prohibited by applicable law.
11. This Agreement is an integrated document and contains the complete understanding between Independent Advisor and Ameriprise relating to the matters contained herein. To the extent Independent Advisor enters into other agreements with Ameriprise, no claim of breach of such other agreements shall affect Independent Advisor's obligations with regard to the Note or other note obligations Independent Advisor may have with Ameriprise.
12. Independent Advisor, in exchange for the benefits and consideration described in this document, as well as benefits and consideration under the Franchise Agreement, and any transitional funds to be provided to Independent Advisor, releases and discharges Ameriprise and its related entities and affiliates, as well as respective current and former directors, officers, employees, agents, successors or assigns, as well as all employee benefit plans of Ameriprise, from any and all actions, causes of action, claims, allegations, demands, rights, obligations, liabilities, grievances or charges, whether known or unknown, that Independent Advisor has asserted or could have asserted against Ameriprise based upon any act or omission from the beginning of time to date.

Further, where applicable, by signing this Agreement, Independent Advisor expressly waives any and all rights under California Civil Code § 1542, or any like or similar statute or common law doctrine, which provides as follows: A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.

Thus, where applicable, notwithstanding the provisions of California Civil Code § 1542, and for the purpose of implementing the full and complete release and discharge intended by the parties, Independent Advisor expressly acknowledges that this Agreement is intended to include in its effect, without limitation, claims and causes of action that Independent Advisor does not know of or suspect to exist in Independent Advisor's favor at the time of execution hereof and that Independent Advisor intends by this Agreement to extinguish all such claims and causes of action.

In consideration of the provisions of the Note, Independent Advisor further agrees to waive any and all rights under the laws of any jurisdiction in the United States or any other country that limit a release to claims against Ameriprise, known, or suspected to exist in Independent Advisor's favor as of the date of execution of this document.

13. No previous waiver and no failure or delay by Ameriprise in acting with respect to the terms of the Note shall constitute a waiver of any breach, default or failure of condition under the Note or the obligations of Independent Advisor secured thereby.
14. A waiver or modification of any term of the Note or any of the obligations secured thereby must be made in writing and signed by a duly authorized representative of Ameriprise and shall be limited to the express terms of such waiver or modification. Independent Advisor may not rely on any oral waivers or modifications and no such oral waiver or modification shall be binding on Ameriprise or otherwise be effective.
15. The obligations set forth herein shall be construed as agreements independent of any other provision in any other agreement by, between, among, or affecting Ameriprise and Independent Advisor, and the existence of any claim or cause of action of Independent Advisor against Ameriprise, whether predicated on this Agreement or otherwise, shall not constitute a defense to the enforcement of this Note or the obligations of Independent Advisor hereunder.
16. If any provision of this Note is held invalid or unenforceable by any court of competent jurisdiction or arbitration panel, the other provisions of this Note will remain in full force and effect. Any provision of

this Note held invalid or unenforceable only in part or degree will remain in full force and effect to the extent not held invalid or unenforceable.

17. Employee agrees that in Employee's employment with Ameriprise, Employee will receive valuable and confidential trade secret information, including, without limitation, the identity of clients and potential clients and their contact information, information regarding the operational, sales, promotional, and marketing methods and techniques, of company. In recognition and in consideration for this Note and other benefits, to protect the confidentiality of Ameriprise's client information and goodwill, Employee agrees that (a) during the term of Employees employment with Ameriprise, and (b) for the longer of one year after termination of employment or until all obligations under this or any other Ameriprise note have been satisfied, Employee shall not, either directly or indirectly, for the benefit of Employee or through, on behalf of, or in conjunction with any person or entity, encourage, assist, participate, induce or attempt to induce any client or prospective customer to terminate or otherwise change or limit their relationship with Ameriprise or its affiliates.
18. In the event Independent Advisor becomes inactive for a period of 30 consecutive days or more for any reason, including but not limited to a Leave of Absence or a suspension, all monthly payments to Ameriprise under this Agreement will be suspended for the time that Independent Advisor remains inactive. Interest at the current rate specified herein will continue to accrue during any such period of suspended payments. If the Independent Advisor returns to active employment at Ameriprise within four months from the initial date of absence, upon Independent Advisor's return to active employment at Ameriprise, suspended payments shall be processed, and future payments shall resume under this Agreement. If the Independent Advisor returns to active employment at Ameriprise more than four months from the initial date of absence, upon Independent Advisor's return to active employment at Ameriprise, the date for all suspended and future payment obligations shall be extended by a period of months equal to the number of months of the Independent Advisor's inactivity. Failure to return from leave under company policy resulting in termination of employment will be considered an event of default under the terms of this Note.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement on the date first above written.

Independent Advisor

By: _____

Name: _____

Title: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

IMPORTANT: PLEASE READ CAREFULLY

**PROMISSORY NOTE
ACKNOWLEDGEMENT FORM**

I have previously been furnished, and I have read and signed, the attached Promissory Note. I understand that:

1. ~~4.~~ In the event ~~that~~ Independent Advisor is in default with respect to the Note, Independent Advisor hereby irrevocably authorizes and empowers FINRA to enter an award against Independent Advisor on an expedited basis and in favor of Ameriprise, its representatives and assigns, for which this Agreement, or a true copy hereof, shall be a sufficient warrant, at any time or times after default, and as to any term, for the whole or any part of said amounts, with or without declaration, with collection ~~fees~~ costs and ~~costs~~ fees of suit, without stay of execution, and with attorney's fees and costs. The authority herein granted to enter the award shall not be exhausted by any exercise thereof, but shall continue from time to time and at all times until full payment of all said amounts. Independent Advisor hereby waives and releases all errors, defects, imperfections, appeals, and any stay of execution in any proceedings instituted by Ameriprise Financial under this Agreement. Independent Advisor waives the benefit of any laws or rules of court now or hereafter in effect relating to exemption, appraisal, stay of execution, or other relief from the entry of an award.

IN WITNESS WHEREOF, the undersigned has executed and hereby delivers this Acknowledgment Form as of the date written below.

Independent Advisor

By: _____

Name: _____

Title: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

- Software developed and owned by Ameriprise Financial;
- Software or software enhancements developed exclusively for Ameriprise Financial by a third party, but owned in whole or in part by that third party; and
- Software owned by a third party and licensed to Ameriprise Financial.

~~by remote means.~~

The Licensed Software is furnished to you solely for use in conjunction with your activities as an agent, employee, or independent contractor of Ameriprise Financial Services, LLC or any of its ~~affiliated companies~~affiliates (collectively, “Ameriprise Financial”). No other use of the Licensed Software is permitted, including ~~without limitation~~but not limited to, use in support of any outside business activity in which you or anyone in your practice may be engaged, even if ~~that~~the outside business activity has otherwise been approved by Ameriprise Financial. The use of the Licensed Software is also subject to the following additional terms and conditions.

- ~~Ameriprise Financial Services, LLC – FDD Franchise Agreement~~
~~3/26/21 as amended 10/6/21~~

vii. Use the Licensed Software in any manner not explicitly authorized by this Agreement.

Violation of any of these provisions shall be the basis for immediate termination of this Agreement. Termination of the Agreement shall be in addition to, and not in lieu of, any other legal or equitable remedies available to Ameriprise Financial.

3. **Proprietary Rights.** All ownership and intellectual proprietary rights, including any patents, copyrights, trade secrets, trademarks, service marks or trade names, in the Licensed Software and any modifications or enhancements thereto, belong either to Ameriprise Financial or its licensors. This Agreement is not a sale of a copy of the Licensed Software, and ownership of the Licensed Software and all components and copies thereof shall, at all times, remain with Ameriprise Financial and/or its licensors, regardless of who may be deemed the owner of the tangible media in or on which the Licensed Software is provided to you or may be copied, encoded or otherwise fixed.
4. **Price and Payment.** You shall make payment to Ameriprise Financial for use of the Licensed Software pursuant to the fees and payment terms set forth in the Software and Pricing Schedule. Ameriprise Financial has the right to terminate the Agreement and the license(s) granted herein for non-payment of the fees and payments as set forth in the Software and Pricing Schedule.
5. **Confidentiality.** You understand and agree that all aspects of the Licensed Software are confidential, trade secret information ("Confidential Information") of Ameriprise Financial or its licensors. You agree to protect this Confidential Information, not to disclose it to any third party, and not use it in a manner adverse to the interest of Ameriprise Financial or its licensors or for any purpose not directly related to the conduct of the Licensed Activities.
6. **Warranty Disclaimer.** THE LICENSED SOFTWARE IS FURNISHED BY AMERIPRISE FINANCIAL AND ACCEPTED BY YOU "AS IS," WITHOUT ANY WARRANTY WHATSOEVER, EXCEPT FOR SUCH WARRANTIES, IF ANY, THAT YOU MAY RECEIVE BY OPERATION OF LAW FROM A THIRD-PARTY VENDOR OR LICENSOR. ALL WARRANTIES, EXPRESSED OR IMPLIED, INCLUDING ANY WARRANTIES OF TITLE, MERCHANTABILITY OR FITNESS FOR ANY PARTICULAR PURPOSE, ARE SPECIFICALLY EXCLUDED AND DISCLAIMED BY AMERIPRISE FINANCIAL. AMERIPRISE FINANCIAL DOES NOT WARRANT THAT THE LICENSED SOFTWARE WILL MEET YOUR REQUIREMENTS, IS FIT FOR ANY PARTICULAR PURPOSE OR THAT THE OPERATION OF THE LICENSED SOFTWARE WILL BE UNINTERRUPTED OR ERROR FREE. AS BETWEEN YOU AND AMERIPRISE FINANCIAL, THE ENTIRE RISK AS TO THE QUALITY AND PERFORMANCE OF THE LICENSED SOFTWARE IS WITH YOU.
7. **Limitation of Liability.** IN NO EVENT WILL AMERIPRISE FINANCIAL BE LIABLE TO YOU, YOUR PRACTICE OR TO ANY OTHER PERSON OR ENTITY FOR ANY LOST PROFITS, LOST SAVING, LOST OR CORRUPTED DATA, OR OTHER SPECIAL, CONSEQUENTIAL OR INCIDENTAL DAMAGES ARISING OUT OF OR RELATING TO THIS AGREEMENT OR ANY PRODUCT OR SERVICE FURNISHED OR TO BE FURNISHED BY AMERIPRISE FINANCIAL UNDER THIS AGREEMENT.
8. **Termination.** The license hereby granted will terminate automatically and immediately and without the need for written notice from Ameriprise Financial, in the event that: (a) you violate any of the terms or conditions of this Agreement; or (b) your association with Ameriprise Financial terminates. Without limiting any of the provisions above, Ameriprise Financial shall have the right to terminate this Agreement and license(s) granted herein in the event ~~that~~ you, your practice or its officers or employees ~~violates~~ violate any provision of the Agreement, including, but not limited to, confidentiality and payment. In the event of termination of this Agreement, you will, within fifteen (15) calendar days, either return all copies of the Licensed Software to Ameriprise Financial or remove the same from your hard drive following the procedure outlined in the Compliance Manual Policy 2.9 and certify to Ameriprise Financial in writing that all copies not returned to Ameriprise Financial have been irretrievably destroyed. Termination under this paragraph shall not relieve you of your obligations of confidentiality regarding ~~of~~ the Licensed Software or any payments due. Returned copies shall be delivered to:

Advisor Technology Solutions ~~646 Ameriprise Financial Center~~ Minneapolis, MN 55474

646 Ameriprise Financial Center

Minneapolis, Minnesota 55474

In addition, upon termination of this Agreement, you will, within fifteen (15) calendar days, uninstall all Licensed Software provided to you under this Agreement.

9. **Remedies for Breach.** In the event ~~that~~ you breach this Agreement, you agree that Ameriprise Financial, in addition to any other rights, remedies or damages available at law or in equity, shall be entitled to: ~~(a)~~ injunctive relief enjoining and restraining any such breach by you; and ~~(b)~~ recover from you all costs and expenses, including attorney's fees, incurred by Ameriprise Financial as a consequence of any such breach.
~~expenses, including attorneys' fees, incurred by Ameriprise Financial as a consequence of any such breach.~~
10. **Non-Waiver.** The failure by either party to this Agreement at any time to enforce any of the provisions of this Agreement or any right or remedy available hereunder or at law or in equity, or to exercise any option herein provided, shall not constitute a waiver of such provision, right, remedy or option or in any way affect the validity of this Agreement. The waiver of any default by either party shall not be deemed a continuing waiver, but shall apply solely to the instance to which such waiver is directed.
11. **Choice of Law.** This Agreement shall in all respects be governed by ~~and~~, interpreted, construed, and enforced in accordance with the laws of the United States of America and the State of Minnesota. Any action between ~~you and~~ Ameriprise Financial and you will be venued in a state or federal court situated within the State of Minnesota, and you hereby irrevocably agree to submit yourself to the personal jurisdiction of such courts for such purpose.
12. **Severability.** Every provision of this Agreement shall be construed, to the extent possible, so as to be valid and enforceable. If any provision of this Agreement so construed is held by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, such provision shall be deemed severed from this Agreement, and all other provisions shall remain in full force and effect.
- ~~4. Entire Agreement.~~ This Agreement sets forth the entire agreement and understanding between ~~you~~
13. ~~and~~ Ameriprise Financial and you regarding the subject matter hereof and supersedes any prior representations, advertisements, statements, proposals, negotiations, discussions, understandings or agreement regarding the subject matter. This Agreement may not be modified or amended except in writing signed by the party against whom the same is sought to be enforced.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement on the date first above written.

Independent Advisor

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

EXHIBIT J

INDEPENDENT ADVISOR BUSINESS LOCATIONS

Last	First	Address	City	State	ZIP Code	Bus Phone
COLLINS	JACOB	12375 CAMELOT DR UNIT 4	SEWARD	AK	99664	907.224.4599
WONG	GARRET	548 COASTAL PLACE	ANCHORAGE	AK	99501-1964	907.222.9801
CALLAWAY	RYAN	3601 MINNESOTA DR	ANCHORAGE	AK	99503-3668	907.276.1911
FRANK	MATHEW	STE 201 700 W 41ST AVE	ANCHORAGE	AK	99503-6603	907.677.1606
CLOWERS	JASON	101 LOWE AVE STE 1A	HUNTSVILLE	AL	35801-4237	256.715.8920
GADDIS	LISA	1022 EDENTON ST	BIRMINGHAM	AL	35242-9258	205.983.6401
HENSON	JONATHAN	1112 BRADSHAW DR	FLORENCE	AL	35630-1438	256.764.2205
CLARK	TONY	1112 BRADSHAW DR	FLORENCE	AL	35630-1438	256.764.2205
HAMMOND	MINDY	1400 JACK WARNER PKWY NE STE 1	TUSCALOOSA	AL	35404-1002	205.562.5443
HUGHES	JOHN	1451 W MAIN ST	DOTHAN	AL	36301-1311	334.699.3620
SIMPSON	TERRY	1817 COMMONS N DR	TUSCALOOSA	AL	35406-3700	205.345.2035
JACKSON	THEODORE	1817 COMMONS N DR	TUSCALOOSA	AL	35406-3700	205.722.9344
HOWARD	LEWIS	1817 COMMONS N DR	TUSCALOOSA	AL	35406-3700	205.345.2035
BYARS	MARK	1817 COMMONS NORTH DR	TUSCALOOSA	AL	35406-3700	205.722.9354
EVANS	JACK	1817 COMMONS NORTH DRIVE	TUSCALOOSA	AL	35406-3700	205.345.2035
HOERLEIN	RICHARD	2104 EXECUTIVE PARK	OPELIKA	AL	36801-6042	334.749.2755
MORRIS	DANIEL	2835 ZELDA RD STE 18	MONTGOMERY	AL	36106-2667	334.279.4000
CHASTAIN	JOHN	299 HWY 75 N	ALBERTVILLE	AL	35951-3835	256.878.1720
KNOWLES	STEVEN	299 HWY 75 N PO BOX 1367	ALBERTVILLE	AL	35950-0023	256.878.1720
MORRISON	JUDSON	31 INVERNESS CENTER PKWY STE 550	BIRMINGHAM	AL	35242-4816	205.313.9157
ROBERTS	DAVID	31 INVERNESS CTR PKWY SUITE 550	BIRMINGHAM	AL	35242-4816	205.313.9150
LEE	JAMES	3514 MONTLIMAR PLZ	MOBILE	AL	36609-1739	251.344.5551
COLDSMITH	BRUCE	3514 MONTLIMAR PLZ DR	MOBILE	AL	36609-1739	251.344.5551
HERUSKA	JAMES	3817 GULF SHORES PKWY				
		PKWY CONDOS S STE 2	GULF SHORES	AL	36542-2780	251.948.3733
ROPER	CHRISTOPHER	3817 GULF SHORES PKWY STE 2	GULF SHORES	AL	36542-2781	251.948.3733
MCDONALD	JOHN	4332 BOULEVARD PARK S STE D	MOBILE	AL	36609-3423	251.461.6091
HALEY	DEBRA	4332 BOULEVARD PARK S STE D	MOBILE	AL	36609-3423	251.219.6087
STRAUGHAN	DANIEL	4332 BOULEVARD PARK S STE D	MOBILE	AL	36609-3423	251.607.6365
HANLEY	ROBERT	4332 BOULEVARD PARK S STE D	MOBILE	AL	36609-3423	251.345.0601
GARRETT	STEPHEN	5120 SELKIRK DR STE 200	VESTAVIA	AL	35242-4165	205.313.9153
NUNNALLY	DOUGLAS	6767 OLD MADISON PIKE NW STE 405	HUNTSVILLE	AL	35806-2181	256.419.2673
JOBE	WILLIAM	KEYSTONE BUSINESS CENTER				
		623 S SEMINARY ST STE 110	FLORENCE	AL	35630-5618	256.740.8244
DOUGLAS	ELIZABETH	STE 104 600 BOULEVARD SOUTH SW	HUNTSVILLE	AL	35802-2175	256.705.3571
GRINKMEYER	CHARLES	STE 104 600 OLDE ENGLISH LN	MOUNTAIN BRK	AL	35223-1062	205.968.9222
HORTON	BRANDON	STE 200 5120 SELKIRK DR	BIRMINGHAM	AL	35242-4165	205.969.4565
CATO	THOMAS	STE 3 109 N JEFFERSON ST	HUNTSVILLE	AL	35801-4813	256.704.4530
WINDLE	ELLIS	STE 420 1400 URBAN CTR DR	VESTAVIA	AL	35242-2222	205.968.9899
HUDSON	STEVEN	STE 420 1400 URBAN CTR DR	BIRMINGHAM	AL	35242-2222	205.968.9899
MEDORI	ANNE	STE 550 31 INVERNESS CENTER PKWY	HOOVER	AL	35242-4816	205.313.9145
WILLIFORD	JOHN	STE A 1549 PROFESSIONAL PKWY	AUBURN	AL	36830-2818	334.887.8880
WHITE	G STEPHEN	10 PARKSTONE CIR	NLR	AR	72116-7086	501.975.2639
KELSO	RUSSELL	10 PARKSTONE CIR	N LITTLE ROCK	AR	72116-7086	501.975.2639
HARRISON	GREGORY	116 E ELM ST	EL DORADO	AR	71730-6102	870.444.5505
MARTIN	THOMAS	175 S 12TH ST	BATESVILLE	AR	72501-3532	870.793.4800
CURRY	BRIAN	22 RAHLING CIRCLE	LITTLE ROCK	AR	72223-9187	501.975.7999
BARNES	KEVIN	2400 SE C STREET STE 2	BENTONVILLE	AR	72712-7768	479.464.5055
BROWN	ROBERT	2401 S 51ST CT STE B	FORT SMITH	AR	72903-3663	479.478.8800
PREWITT	SEAN	307 N CHESTNUT	HARRISON	AR	72601-4411	870.741.3535
WALMSLEY	ANDREW	3244 HARRISON ST	BATESVILLE	AR	72501-7500	870.793.9110
SMALL	JOSEPH	36 RAHLING CIR STE 2	LITTLE ROCK	AR	72223-8001	501.975.7968
NOLTE	WILLIAM	39 HIGHWAY 79 N	MAGNOLIA	AR	71753-3244	870.234.8652
SCHUSTER	JENNIFER	39 HIGHWAY 79 N	MAGNOLIA	AR	71753-3244	870.234.9050
HANDLY	WILLIAM	77 HWY 64 WEST	BEEBE	AR	72012-9500	501.882.6530
DAVIS	TAMMY	9821 MAUMELLE BLVD	N LITTLE ROCK	AR	72113-7027	501.812.5252
MOSLEY	WILLIAM	22 RAHLING CIRCLE	LITTLE ROCK	AR	72223-9186	501.975.7941
ROOT	LARRY	22 RAHLING CIRCLE	LITTLE ROCK	AR	72223-9186	501.975.7999
FOSTER	BRANTLEY	22 RAHLING CIRCLE	LITTLE ROCK	AR	72223-9186	501.975.7920
EKEANYANWU	JOHN	22 RAHLING CIRCLE	LITTLE ROCK	AR	72223-9186	501.537.1101
SIEBENMORGEN	KENNETH	FL 1 3101 FREE FERRY RD	FORT SMITH	AR	72903-1733	479.478.1000
MATLOCK	LESTER	STE 1140 415 N MCKINLEY ST	LITTLE ROCK	AR	72205-3286	501.537.1100
IPSEN	LOREN	STE 150 2228 COTTONDALE LN	LITTLE ROCK	AR	72202-2076	501.614.4700
HEGDE	STEPHANIE	STE 211 5100 S THOMPSON ST	SPRINGDALE	AR	72764-6941	479.717.2480
MC CROSSAN	CHRISTOPHER	1201 S ALMA SCHOOL RD STE 10000	MESA	AZ	85210-2014	480.833.1809
ADAMCZYK	TRACY	14274 N NORTHSIGHT BLVD STE 100	SCOTTSDALE	AZ	85260-3956	480.268.2323
AYALA	JASON	14500 N NORTHSIGHT BLVD STE 213	SCOTTSDALE	AZ	85260-3661	602.825.3212
FREIWALD	JASON	1490 S PRICE RD STE 307	CHANDLER	AZ	85286-6610	480.917.0118
ARANT-COUSINS	ALICE	1624 W LEWIS AVW	PHOENIX	AZ	85007	480.897.8667
LEINBACH	BRIAN	17505 N 79TH AVE STE 110	GLENDALE	AZ	85308-8724	623.207.7760
WAGNER	FRED	17505 N 79TH AVE STE 110	GLENDALE	AZ	85308-8724	623.594.4600
TAUBMAN	SCOTT	21469 N 78TH AVE STE 155	PEORIA	AZ	85382-3360	623.249.2610
WILLIAMS	PHILLIP	268 E RIVER RD STE 100	TUCSON	AZ	85704-5842	520.529.8145
SODERBERG	PERRY	268 E RIVER RD STE 100	TUCSON	AZ	85704-5842	949.812.2074
COOPER	LEE	3610 N PRINCE VILLAGE PL STE 130	TUCSON	AZ	85719-2058	520.777.1371
STAUFFACHER	CHAD	4040 E CAMELBACK RD STE 212	PHOENIX	AZ	85018-8361	480.927.3639

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Last	First	Address	City	State	ZIP Code	Bus Phone
GOLDEN	KEVIN	4040 E CAMELBACK RD STE 212	PHOENIX	AZ	85018-8361	480.927.3640
IRBY	BRUCE	4400 E BROADWAY BLVD STE 712	TUCSON	AZ	85711-3556	520.325.3001
MOORE	WILLIAM	4450 S RURAL RD NO-A140	TEMPE	AZ	85282-7065	480.755.1591
BLEY	AMY	4450 S RURAL RD STE A140	TEMPE	AZ	85282-7065	480.755.1591
MARTINEZ	RICK	4450 S RURAL RD STE A140	TEMPE	AZ	85282-7065	480.755.3399
ESPINOZA	RENE	4450 S RURAL RD STE A140	TEMPE	AZ	85282-7065	480.730.8700
SCHMIDT	BENNIE	4630 E INDIAN SCHOOL RD	PHOENIX	AZ	85018-5416	602.840.1888
GREGOR	DENNIS	49 BELL ROCK PLAZA SUITE 2	SEDONA	AZ	86351-9085	847.720.4688
HESTER	STEPHEN	5000 E MEDITERRANEAN DR STE A	SIERRA VISTA	AZ	85635-2433	520.452.9988
MICHAELS	GLENN	5424 N MAGUEY PL	TUCSON	AZ	85750-9661	520.668.7935
SCHWARTZ	CHARLES	551 SKYVIEW DR	PRESCOTT	AZ	86303-5827	928.771.2007
ALLEN	CHARLES	6181 W PARK AVE	CHANDLER	AZ	85226-1195	480.753.1179
JOHNSTON	KENNETH	BLDG G 101	PEORIA	AZ	85381-5622	623.486.8440
KITAMURA	JEREMY	STE 1030A	PHOENIX	AZ	85028-1614	480.927.3641
EHLERS	KEVIN	BLDG G 101 15396 N 83RD AVE	PEORIA	AZ	85381-5629	623.486.8440
HILL	JUSTIN	BLDG G-101 15396 N 83RD AVE	PEORIA	AZ	85381-5629	623.486.8440
KRAMER	SANDRA	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
ADAMS	ROBERT	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
LICKTEIG	TRENT	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
ARRINGTON	YOLANDA	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
RETTKE	JAMES	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
KENISON	KATHERINE	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.268.2319
PALACIOS	CHARLES	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
O'CONNELL	WILLIAM	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.268.2342
MARCUS	LAWRENCE	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.268.2305
REESE	JOHN	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
PFUTZENREUTER	TODD	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
KAPRELIAN	KAREKIN	STE 100 14274 N NORTHSIGHT BLVD	SCOTTSDALE	AZ	85260-3956	480.473.0376
O'NEILL	PATRICK	STE 100 268 E RIVER RD	TUCSON	AZ	85704-5842	520.529.8145
PARKER	JAMES	STE 10000 1201 S ALMA SCHOOL RD	MESA	AZ	85210-2014	480.833.1809
SHARP	SEAN	STE 10000 1201 SOUTH ALMA SCHOOL RD	MESA	AZ	85210-2014	480.833.1809
RHEIN	STEVEN	STE 104 141 S MC CORMICK	PRESCOTT	AZ	86303-4730	928.771.2117
MAC LEAN	MATTHEW	STE 110 7992 W THUNDERBIRD RD	PEORIA	AZ	85381-4905	623.388.6465
HARNDEN	STEPHEN	STE 110 7992 W THUNDERBIRD RD	PEORIA	AZ	85381-4905	623.972.3133
FAIRBANKS	ERIC	STE 125 18325 N ALLIED WAY	PHOENIX	AZ	85054-3107	480.905.0528
ALLISON	SALLY	STE 130 3610 N PRINCE VILLAGE PL	TUCSON	AZ	85719-2058	520.795.1648
ELLISH	JEFFREY	STE 155 5701 W TALAVI BLVD	GLENDALE	AZ	85306-1892	623.308.2000
HANSON	RENEE	STE 200 7010 E CHAUNCEY LN	PHOENIX	AZ	85054-3115	602.923.9800
DOBBINS	BRIAN	STE 245 6909 E GREENWAY PKWY	SCOTTSDALE	AZ	85254-2173	602.794.0191
PARFET	MARK	STE 245 6909 E GREENWAY PKWY	SCOTTSDALE	AZ	85254-2173	602.794.1166
HAUGLAND	MASON	STE 4 5690 W CHANDLER BLVD	CHANDLER	AZ	85226-3356	480.397.9800
WOLKEN	AMY	STE 7 400 W FRY BLVD	SIERRA VISTA	AZ	85635-1759	520.459.1652
JOHNSON	REBECCA	STE 712 4400 E BROADWAY BLVD	TUCSON	AZ	85711-3556	520.327.3299
VANCE	BETH	STE 730 5151 E BROADWAY	TUCSON	AZ	85711-3783	520.748.2384
VUKONICH	MICHAEL	SUITE A140 4450 S RURAL RD	TEMPE	AZ	85282-7065	480.897.8667
LEE	KELLY	1 ALMADEN BLVD STE 810	SAN JOSE	CA	95113-2215	408.918.5300
UFFELMAN	CRAIG	1 ALMADEN BLVD STE 810	SAN JOSE	CA	95113-2215	408.918.5300
KABITSIS	SPIRIDON	1 ALMADEN BLVD SUITE 810	SAN JOSE	CA	95113-2215	408.918.5300
ROW	CLARENCE	1 SANSOME ST STE 3500	SAN FRANCISCO	CA	94104-4436	415.590.4855
BRANDER	MARTIN	10001 LADERA AVE PO BOX 318	LUCERNE VALLEY	CA	92356-0318	760.248.6711
ESQUER	DOUGLAS	101 E REDLANDS BLVD STE 249	REDLANDS	CA	92373-4725	909.748.0457
AGRUSA	JAMES	101 GREGORY LN STE 42	PLEASANT HILL	CA	94523-4924	925.350.7577
GIPSON	GARTH	108 W CENTER AVE	VISALIA	CA	93291-6228	559.471.0970
DEJONGE	DONALD	108 W CENTER AVE	VISALIA	CA	93291-6228	559.625.5782
HANNINK	BRADLEY	11001 RIVER RUN BLVD STE 100	BAKERSFIELD	CA	93311-8981	661.664.6900
MARTINUSEN	JANET	1104 W CENTER AVE	VISALIA	CA	93291-5913	559.732.4955
ROHDE	STEPHEN	1114 S MAIN AVE	FALLBROOK	CA	92028-3325	760.645.3735
JORGENSEN	LARS	11150 W OLYMPIC BLVD STE 1130	LOS ANGELES	CA	90064-1839	310.996.1979
LOGAN	ANDRE	11835 W OLYMPIC BLVD STE 735 E	LOS ANGELES	CA	90064-5069	909.550.0210
PEREZ	ANTHONY	12400 WILSHIRE BLVD STE 1210	LOS ANGELES	CA	90025-1078	310.582.3500
LITTLEJOHN	CORNELIUS	12555 HIGH BLUFF DR STE 185	SAN DIEGO	CA	92130-3005	858.345.1871
CHAN	EDDIE	12777 W JEFFERSON BLVD BLDG D STE 300	LOS ANGELES	CA	90066-7034	424.289.2632
JONES	CHERIE	12842 VALLEY VIEW STE 104	GARDEN GROVE	CA	92845-2537	714.248.9050
HICKEY	TERRY	1300 W LODI AVE STE A7	LODI	CA	95242-3037	209.210.4716
CRUFF	GARY	1320 WILLOW PASS RD FL 6TH	CONCORD	CA	94520-5232	408.636.8352
CHKHEIDZE	KAKHABER	1333 N CALIFORNIA BLVD STE 630	WALNUT CREEK	CA	94596-4538	925.295.1900
PEREZ	LUCIA	137 N 10TH ST STE A	SANTA PAULA	CA	93060-2802	805.981.4185
WHEELER	PAUL	1420 ROCKY RIDGE DR STE 160	ROSEVILLE	CA	95661-2835	916.784.2240
NGUYEN	RACHELLE	1420 ROCKY RIDGE DR STE 160	ROSEVILLE	CA	95661-2835	916.784.2240
RODEGERDTS	MICHAEL	1430 BLUE OAKS BLVD STE 290	ROSEVILLE	CA	95747-5157	916.580.2180
PETTIT	MICHAEL	1430 BLUE OAKS BLVD STE 290	ROSEVILLE	CA	95747-5157	916.580.2180
KARR	AARON	1430 BLUE OAKS BLVD STE 290	ROSEVILLE	CA	95747-5157	916.580.2180
MADHAVAN	SANDEEP	14771 PLAZA DR STE M	TUSTIN	CA	92780-8012	949.258.9775
SANCHEZ	DAWN	150 POST ST STE 530	SAN FRANCISCO	CA	94108-4720	415.544.9122
WANG	LOIS	150 POST ST STE 530	SAN FRANCISCO	CA	94108-4720	415.544.9124
ALBERDA	MICHELLE	150 POST ST STE 530	SAN FRANCISCO	CA	94108-4720	415.623.2453
MUNCHOW	DEREK	1600 ROSECRANS AVE FL 3 STE 37	MANHATTAN BCH	CA	90266-3708	310.321.7892
WERDEL	TIMOTHY	1620 MILL ROCK WAY STE 200	BAKERSFIELD	CA	93311-1342	661.663.7410

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Last	First	Address	City	State	ZIP Code	Bus Phone
MADDEN	BARBARA	164 MAIN ST STE 206	LOS ALTOS	CA	94022-2921	650.947.9700
NG	LAI HING ESTER	164 MAIN ST STE 206	LOS ALTOS	CA	94022-2921	650.948.9800
CAMERON	LACHLAN	170 S OAKLAND AVE STE F1	PASADENA	CA	91101-2561	626.449.1323
LEONG	STANLEY	1700 EUREKA RD STE 110	ROSEVILLE	CA	95661-7746	916.783.1545
VU	HUNG	1700 S WINCHESTER BLVD STE 103	CAMPBELL	CA	95008-1163	408.371.7648
HERON	SCOTT	1718 W WALNUT AVE	VISALIA	CA	93277-6233	559.733.8756
TARKO	ALAN	1875 CENTURY PARK E FLOOR 6	LOS ANGELES	CA	90067-2253	310.277.9966
KOTOV	DIMITAR	1901 S BASCOM AVE STE 1530	CAMPBELL	CA	95008-2234	408.879.9057
CAN	CONNIE	1901 S BASCOM AVE STE 1530	CAMPBELL	CA	95008-2234	408.879.0863
RAEGEN	JEFFREY	1905 THE ALAMEDA	SAN JOSE	CA	95126-1428	408.287.6500
HSIA	ALBERT	1905 THE ALAMEDA	SAN JOSE	CA	95126-1428	408.287.6500
SAWAL	DINESH	1905 THE ALAMEDA	SAN JOSE	CA	95126-1428	408.287.6500
KWOCK-LAU	JENNIFER	200 PRINGLE AVE STE 550	WALNUT CREEK	CA	94596-7301	925.979.0200
MINOR	DAVID	200 PRINGLE AVE STE 550	WALNUT CREEK	CA	94596-7301	925.979.0200
PAN	EDMUND	2033 N MAIN ST STE 363	WALNUT CREEK	CA	94596-3734	925.482.0886
JACKSON	TUANGPORN	2033 N MAIN ST STE 363	WALNUT CREEK	CA	94596-3734	925.482.0886
ONISHI	RYAN	205 E EL SEGUNDO BLVD	EL SEGUNDO	CA	90245-3817	310.496.5571
YOSHIDA	JOHN	205 E EL SEGUNDO BLVD	EL SEGUNDO	CA	90245-3817	310.451.6000
WINKLER	THOMAS	2087 GRAND CANAL BLVD STE 2	STOCKTON	CA	95207-6651	209.478.9900
OLIVA	RODRIGO	2111 PALOMAR AIRPORT RD STE 340	CARLSBAD	CA	92011-1455	760.929.0776
YANEZ	GABRIEL	2111 PALOMAR AIRPORT RD STE 340	CARLSBAD	CA	92011-1455	760.929.0776
SCOTT	MARC	2147 HERNDON AVENUE SUITE 104	CLOVIS	CA	93611-6305	559.326.0717
FOLEY	ALAN	2150 MAIN ST STE 1 PO BOX 983	RED BLUFF	CA	96080-0983	530.528.1328
DOBRINEN	TINA	219 E OLIVE AVE	REDLANDS	CA	92373-5251	909.748.7813
HSU	GINA	221 E WALNUT ST STE 276	PASADENA	CA	91101-6001	626.243.0505
KERNEN	KIRK	221 N ENCINA ST	VISALIA	CA	93291-4908	559.635.4701
SEBERT	SHAWN	221 N ENCINA ST	VISALIA	CA	93291-4908	559.635.9602
OVERLAND	GREGORY	221 N RIOS AVE	SOLANA BEACH	CA	92075-1239	858.794.0139
PETERSON	DOUG	222 PACIFIC COAST HWY FLOOR 10	EL SEGUNDO	CA	90245-5615	310.582.3555
WRIGHT	MARY	2233 OLYMPIC BLVD	WALNUT CREEK	CA	94595-1623	925.952.9810
WILUSZ	KATHLEEN	225 BUSH ST STE 1835	SAN FRANCISCO	CA	94104-4292	415.623.2455
SMOTHERMAN	ROBERT	225 CALIFORNIA ST	EL SEGUNDO	CA	90245-4310	310.220.2307
CHRISTIENSEN	JAMES	225 E SANTA CLARA ST STE 208	ARCADIA	CA	91006-7234	626.844.9242
SCOTT	BRADLEY	225 E SANTA CLARA ST STE 302	ARCADIA	CA	91006-7234	626.447.4060
TERPELUK	VIOLETTA	2260 DOUGLAS BLVD STE 200	ROSEVILLE	CA	95661-4208	916.787.9988
LANGLOIS	PETER	230 CALIFORNIA ST STE 207	SAN FRANCISCO	CA	94111-4347	415.538.0010
KAN	IVAN	2301 ROSECRANS AVE STE 2175	EL SEGUNDO	CA	90245-4968	310.220.2308
MARTIN	PATRICIA	2338 LASSEN PL	DAVIS	CA	95616-6605	530.231.5217
GOLDSTEIN	ADAM	24025 PARK SORRENTO STE 320	CALABASAS	CA	91302-4040	818.704.6675
KOFF	RICHARD	24025 PARK SORRENTO STE 320	CALABASAS	CA	91302-4040	818.704.6675
TRAN	DUC	242 DE LACEY AVE	PASADENA	CA	91105-2006	626.799.2237
GRIFFITH	MEISHA	242 S DE LACEY AVE	PASADENA	CA	91105-2006	626.396.6901
POLLAK	SCOTT	25 ORINDA WAY STE 205	ORINDA	CA	94563-4403	925.905.9890
CHRISTENSEN	CHARLES	250 CHERRY LN SUITE 114	MANTECA	CA	95337-4398	209.522.5223
BOYCE	JOEL	250 N WESTLAKE BLVD STE 200	WESTLAKE VLG	CA	91362-7007	805.981.3303
CHRYSSOSTOMIDES	PANDELIS	2566 W AVENUE K	LANCASTER	CA	93536-5323	661.948.0474
KHOUDARI	NICHOLAS	2600 MICHELSON DR STE 1460	IRVINE	CA	92612-6524	949.250.3210
MAZZOTTA	VINCENT	2600 MICHELSON DR STE 1460	IRVINE	CA	92612-6524	949.250.3210
TANUDJOJO	MERCY	2737 PORTER ST	SOQUEL	CA	95073-2420	831.479.3477
HANLIN	JOSH	27372 ALISO CREEK RD STE 230	ALISO VIEJO	CA	92656-5339	949.380.6545
SYED	NAIMUDDIN	28100 BOUQUET CYN RD STE 202	SANTA CLARITA	CA	91350-2006	661.305.5190
EHRlich	ANDREW	28202 CABOT RD STE 425	LAGUNA NIGUEL	CA	92677-1271	949.462.9751
WARREN	JAMES	28202 CABOT RD STE 425	LAGUNA NIGUEL	CA	92677-1271	949.462.9751
CARABINI	JAMES	283 2ND ST E	SONOMA	CA	95476-5708	707.935.8222
TAYLOR	JEREMY	29826 HAUN RD STE 206	MENIFEE	CA	92586-6547	951.679.2222
NELSON	DAVID	307 MAIN ST UNIT 110	SALINAS	CA	93901-2760	831.772.9873
FOSTER	JOHN	31351 VIA COLINAS STE 104	WESTLAKE VLG	CA	91362-4573	818.597.8111
DE BUISER	GARRETT	31351 VIA COLINAS STE 104	WESTLAKE VLG	CA	91362-4573	818.597.8111
KETTNITZ	VICTORIA	31569 CANYON ESTATES DR STE 109	LAKE ELSINORE	CA	92532-0470	951.579.4598
SEIVERT	MARK	3172 COLLINS DR STE A	MERCED	CA	95348-3131	209.383.7401
PIRKOWITSCH	JUDITH	319 E CARRILLO ST STE 107	SANTA BARBARA	CA	93101-7454	805.682.8187
KASEN	JILL	3500 W OLIVE AVE STE 560	BURBANK	CA	91505-5536	818.752.9977
HARDIN	JOHN	36 E MORTON AVE	PORTERVILLE	CA	93257-2422	559.781.8956
COLLINS	STEPHEN	3610 CENTRAL AVE STE 208	RIVERSIDE	CA	92506-5905	951.320.2260
HILL	GREGORY	36947 COOK ST STE 104	PALM DESERT	CA	92211-6078	760.671.2171
VANT	STEVEN	3711 LONG BEACH BLVD STE 1015	LONG BEACH	CA	90807-3326	562.726.1186
KAMERMAN	MARK	3713 ALAMO ST STE 200	SIMI VALLEY	CA	93063-2128	805.526.9944
WESTLAKE	STEPHEN	3741 DOUGLAS BLVD STE 290	ROSEVILLE	CA	95661-4271	916.677.1640
GRAHL	COLIN	3741 DOUGLAS BLVD STE 290	ROSEVILLE	CA	95661-4271	916.677.1640
GLOVER	BRET	3741 DOUGLAS BLVD STE 290	ROSEVILLE	CA	95661-4271	916.677.1640
FORBES FELIX	SHAYNA	3825 HOPYARD RD STE 124	PLEASANTON	CA	94588-8529	925.225.2086
LUBBERS	ERICA	3825 HOPYARD RD STE 124	PLEASANTON	CA	94588-8529	925.225.2085
BUATTI	JAMES	3825 HOPYARD RD STE 124	PLEASANTON	CA	94588-8529	925.225.2090
SHEEFEL	JEFFREY	3838 CARSON ST STE 214	TORRANCE	CA	90503-6703	310.792.8030
GRACY	DANIEL	3868 W CARSON ST STE 102	TORRANCE	CA	90503-6706	310.697.3552
TYLER	ROBERT	388 E YOSEMITE AVE STE 200D	MERCED	CA	95340-8219	209.723.3361
CHIEN	JING	3945 FREEDOM CIRCLE STE 460	SANTA CLARA	CA	95054-1253	408.330.9220
CLEMENTS	JERRY	4 VENTURE STE 300	IRVINE	CA	92618-7384	949.453.0593
WOO	MANDY	4 VENTURE STE 300	IRVINE	CA	92618-7384	949.453.0593
VORA	SUPAL	401 W A ST STE 2245	SAN DIEGO	CA	92101-7914	619.358.9893

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Last	First	Address	City	State	ZIP Code	Bus Phone
PETRUSHKIN	SHAWNA	40291 STAGECOACH RD	OAKHURST	CA	93644-9574	559.683.3600
HAYDIS	DEBORAH	414 S MAIN AVE	FALLBROOK	CA	92028-2940	760.723.2693
MASON	RYAN	420 E ST STE 106	SANTA ROSA	CA	95404-4342	707.385.8400
HUNSTOCK	MATTHEW	420 E ST STE 106	SANTA ROSA	CA	95404-4342	707.206.7255
GIORDANO	LUCAS	431 CLEVELAND STREET	WOODLAND	CA	95695-3901	530.666.2128
ROMINES	RYAN	4314 REDWOOD HWY STE 400	SAN RAFAEL	CA	94903-2147	415.492.8222
KONO	SAKIKO	4314 REDWOOD HWY STE 400	SAN RAFAEL	CA	94903-2147	415.492.8222
QUISOL	ROMAN	433 AIRPORT BLVD STE 328	BURLINGAME	CA	94010-2053	650.288.3978
HOOPINGARNER	LORI	43460 RIDGE PARK DR STE 200	TEMECULA	CA	92590-3600	951.719.8432
BISHOP	IAN	440 N MOUNTAIN AVE STE 313	UPLAND	CA	91786-5183	909.608.0588
PURVIS	KAREN	4455 MORENA BLVD STE 215	SAN DIEGO	CA	92117-4359	858.490.4288
NAGEL	TARI	4455 MORENA BLVD STE 215	SAN DIEGO	CA	92117-4359	858.490.4288
DOLD	PETER	4510 EXECUTIVE DR STE P9	SAN DIEGO	CA	92121-3021	858.769.3841
SEO	DEREK	4600 DUCKHORN DR	SACRAMENTO	CA	95834-2591	916.554.7650
DE LA PENNA	KRISTOPHER	4695 MACARTHUR CT STE 1100	NEWPORT BEACH	CA	92660-1866	949.798.6222
MEYER	BRETT	476 CENTURY PARK DR STE B	YUBA CITY	CA	95991-5775	530.674.1111
MOLINARI	LUCIANNA	49 SEAWALL RD	RCH PALOS VRD	CA	90275-6052	310.377.4883
BINNIE	ALEXANDER	5 CORTE DEL REY	ORINDA	CA	94563-4303	888.933.4346
YANEZ	RICARDO	5001 CALIFORNIA AVE STE 128	BAKERSFIELD	CA	93309-1658	661.241.9393
MACKALL	LANCE	5001 CALIFORNIA AVE STE 128	BAKERSFIELD	CA	93309-1658	661.241.9393
MORIN	HAROLD	5055 CANYON CREST DR STE 107	RIVERSIDE	CA	92507-6015	951.788.2995
KARAH	KARIMAH	51 DANIELS AVE	VALLEJO	CA	94590-3035	707.534.6181
JACOBS	RUSSELL	5256 SOUTH MISSION RD STE 301	BONSALL	CA	92003-3621	760.330.9477
HOWARD	BRETT	528 A ST	SANTA ROSA	CA	95401-5239	707.387.4645
MINKOFF	STEVEN	529 COMMERCIAL ST STE 400	SAN FRANCISCO	CA	94111-3019	415.391.7700
TOLAN	KEVIN	530 W BONITA AVE	SAN DIMAS	CA	91773-2509	909.394.0409
TOLAN	MARK	530 W BONITA AVE	SAN DIMAS	CA	91773-2509	909.394.0409
CHIANG	DUVAN	530 W BONITA AVE	SAN DIMAS	CA	91773-2509	909.860.6886
ALVAREZ	ALBERTO	535 N BRAND BLVD STE 1000 AND 950	GLENDALE	CA	91203	818.662.1999
REID	GAIL	535 N BRAND BLVD STE 1000 AND 950	GLENDALE	CA	91203	818.662.1999
BILLARD	BETSY	535 N BRAND BLVD STE 1000 AND 950	GLENDALE	CA	91203-3930	818.662.1950
AVINA	PAUL	535 N BRAND BLVD STE 1000 AND 950	GLENDALE	CA	91203-3930	818.662.1999
GODINEZ	JOSE	535 N BRAND BLVD STE 1000 AND 950	GLENDALE	CA	91203-3930	818.662.1999
STONE	TERRY	555 W SHAW AVE STE B5	FRESNO	CA	93704-2503	559.222.7646
GLADE	ERIC	556 N DIAMOND BAR BLVD STE 106	DIAMOND BAR	CA	91765-1054	909.860.1560
MATTHEWSON	DONALD	586 W LINE ST	BISHOP	CA	93514-3316	760.873.8300
STERN	ROBERT	591 W HAMILTON AVE STE 110	CAMPBELL	CA	95008-0521	408.663.6913
PLATA	HENRY	591 W HAMILTON AVENUE SUITE 110	CAMPBELL	CA	95008-0521	408.663.6418
PUZIK	ERIKA	6080 CENTER DR STE 730	LOS ANGELES	CA	90045-9205	310.933.3240
JOHNSON	HELENE	620 NEWPORT CENTER DR STE 1450	NEWPORT BEACH	CA	92660-8007	949.339.5100
ANGELO	JOHN	6355 TOPANGA CANYON BLVD STE 505	WOODLAND HLS	CA	91367-2107	818.676.1724
SHAMSIAN	FERIAL	6355 TOPANGA CANYON BLVD STE 505	WOODLAND HLS	CA	91367-2107	310.575.8820
MILNER	STEPHANIE	6355 TOPANGA CANYON BLVD STE 505	WOODLAND HLS	CA	91367-2107	805.659.9813
MEDLIN	GARY	659 ABREGO ST STE 4	MONTEREY	CA	93940-3238	831.375.3116
NOROLAH	ANDREW	6725 MESA RIDGE RD STE 200	SAN DIEGO	CA	92121-2925	858.678.8686
RUSSO	MICHAEL	6B LIBERTY STE 225	ALISO VIEJO	CA	92656-5840	949.379.6237
FRANKLIN	KENNETH	6B LIBERTY SUITE 225	ALISO VIEJO	CA	92656-5840	949.660.0088
MAKHJANI	JOHNY	700 N BRAND BLVD STE 460	GLENDALE	CA	91203-1259	818.550.9980
OKAMURA	LEA	716 YARMOUTH RD STE 209	PLS VRDS EST	CA	90274-2667	424.903.0377
BITANGA	LOUIE	727 2ND ST UNIT 103	HERMOSA BEACH	CA	90254-5245	310.318.0020
ALLEN	NICOLAS	7433 N 1ST ST STE 102	FRESNO	CA	93720-2851	559.490.7030
PITT	RICHARD	755 BAYWOOD DR STE 200	PETALUMA	CA	94954-5508	707.658.4414
TARAZ	REZA	7652 PRIMAVERA WAY	CARLSBAD	CA	92009-8236	760.632.6361
CRUMLEY	DOUGLAS	7956 CALIFORNIA AVE	FAIR OAKS	CA	95628-7141	916.638.4600
BUDENBENDER	PAMELA	8080 MADISON AVE STE 201B	FAIR OAKS	CA	95628-3736	916.537.0450
BAILEY	MICHAEL	8608 UTICA AVE STE 207	RCH CUCAMONGA	CA	91730-4877	909.948.7650
SCHLEDER	IVAN	8TH FL 8880 RIO SAN DIEGO	SAN DIEGO	CA	92108-1642	619.209.6055
STAPLETON	CHRISTOPH	901 CAMPISI WAY STE 320	CAMPBELL	CA	95008-2376	408.796.7415
CHAN	EMILY	914 MISSION AVE STE 4F	SAN RAFAEL	CA	94901-6106	415.524.8687
BARAKAT	MOHAMMED	940 E 2ND ST APT 34	LOS ANGELES	CA	90012-4381	213.748.5014
RANGSUEBSIN	VICKY	99 S LAKE AVE	PASADENA	CA	91101-4701	626.727.9200
BURNETT	LEAH	9915 MIRA MESA BLVD STE 240	SAN DIEGO	CA	92131-7003	858.769.3842
AGUAYO	LARRY	3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
FREDERICH	JOHN	462 S MARENGO AVE	PASADENA	CA	91101-3129	626.440.5990
VARTANIAN	JUSTIN	STE 102	FRESNO	CA	93720-2851	559.490.7030
ATON	DAVID	STE 160	ROSEVILLE	CA	95661-2835	916.784.2240
HAKE	BLAIR	STE 2	STOCKTON	CA	95207-6651	209.478.9900
NORTON	WILLIAM	STE 207	CARLSBAD	CA	92008-7304	760.804.9364
ACCUNZO	MARIE	STE 207	CARLSBAD	CA	92008-7304	760.607.0284
HOCKENMAIER	PETER	STE 265	CAMARILLO	CA	93010-6000	805.987.0450
JACKSON	BRIAN	BLDG 100 STE 106 4199 FLT ROCK DR	RIVERSIDE	CA	92505-7116	951.710.9606
KELLER	JOHN	C/O MDFA 1333 CALIFORNIA 630	WALNUT CREEK	CA	94596-4538	925.295.1900
MARTINEZ	RAMIRO	STE 100 11001 RIVER RUN BLVD	BAKERSFIELD	CA	93311-8981	661.664.6900
TANUWIJAYA	HENDRA	STE 100 11001 RIVER RUN BLVD	BAKERSFIELD	CA	93311-8981	661.664.6900
MC ANDREW	RANDY	STE 100 11423 187TH ST	ARTESIA	CA	90701-5678	562.924.8363
HUEY	TAMARA	STE 100 3550 CAMINO DEL RIO N	SAN DIEGO	CA	92108-1738	619.501.1297
MC COY	MIKE	STE 100 4857 ARLINGTON AVE	RIVERSIDE	CA	92504-2760	951.784.7884
CASTANEDA	JOHN	STE 100M 36 QUAIL RUN CIR	SALINAS	CA	93907-2354	800.972.5914
DEL NERO	DEBRA	STE 102 3868 CARSON ST	TORRANCE	CA	90503-6706	310.792.0900
BROUWER	DONAVAN	STE 102 7433 N 1ST ST	FRESNO	CA	93720-2851	559.490.7030

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DE JONG	CARL	STE 102 7433 N 1ST ST	FRESNO	CA	93720-2851	559.490.7030
HENSLEY	MONICA	STE 103 7161 N MILLBROOK AVE	FRESNO	CA	93720-3362	559.432.6302
NIKOLAIEFF	GREGORY	STE 105 350 IGNACIO BLVD	NOVATO	CA	94949-7202	415.883.3398
CURTIS	STEVEN	STE 106 26060 ACERO ST	MISSION VIEJO	CA	92691-2768	949.951.4912
MC COY	JAMES	STE 107 5055 CANYON CREST DR	RIVERSIDE	CA	92507-6015	951.276.1610
THOMPSON	KENT	STE 110 13520 EVENING CRK DR N	SAN DIEGO	CA	92128-8105	858.795.2188
BRITT	BRIAN	STE 110 2601 AIRPORT DR	TORRANCE	CA	90505-6142	310.891.3030
NACK	DUANE	STE 110 307 MAIN ST	SALINAS	CA	93901-2760	831.809.9712
BRENDE	RICHARD	STE 1130 11150 W OLYMPIC BLVD	LOS ANGELES	CA	90064-1839	310.996.7526
WADA	CHARLES	STE 117 417 W ARDEN AVE	GLENDALE	CA	91203-4047	818.549.1190
BAKER	GREGORY	STE 12 500 CYPRESS ST	PISMO BEACH	CA	93449-2624	805.773.9468
BIZZACK	JAMES	STE 124 3825 HOPYARD RD	PLEASANTON	CA	94588-8529	925.225.2090
MAHMOOD	MAZHAR	STE 1240 4 PARK PLZ STE	IRVINE	CA	92614-8556	949.250.2920
WAGONER	ROBERT	STE 125 17332 IRVINE BLVD	TUSTIN	CA	92780-3081	714.665.8090
KOHLI	VIKRAM	STE 128 3130 DE LA CRUZ BLVD	SANTA CLARA	CA	95054-2439	408.988.5455
MINKER	ANDREW	STE 135 2542 S BASCOM AVE	CAMPBELL	CA	95008-5566	408.559.6015
WOO	RICHARD	STE 135 2542 S BASCOM AVE	CAMPBELL	CA	95008-5566	408.559.6018
TANNER	JOHN	STE 140 5405 MOREHOUSE DR	SAN DIEGO	CA	92121-4767	858.453.5600
CONNOLLY	ELIZABETH	STE 1460 2600 MICHELSON DR	IRVINE	CA	92612-6524	949.250.3210
KREIDT	THOMAS	STE 1460 2600 MICHELSON DR	IRVINE	CA	92612-6524	949.250.3210
TORRES	DONALD	STE 1460 2600 MICHELSON DR	IRVINE	CA	92612-6524	949.250.3210
ARLOW	LOUIS	STE 1460 2600 MICHELSON DR	IRVINE	CA	92612-6524	949.250.3210
GUAN	TONY	STE 150 1130 IRON POINT RD	FOLSOM	CA	95630-8310	916.983.5070
PHELPS	RUSSEL	STE 150 1130 IRON POINT RD	FOLSOM	CA	95630-8310	916.351.0000
TORRES	EDWARD	STE 160 180 N RIVERVIEW DR	ANAHEIM	CA	92808-1228	714.998.3774
JOHNSON	AMANDA	STE 190 2804 GATEWAY OAKS DR	SACRAMENTO	CA	95833-4349	916.641.7400
WIGGLESWORTH	DONALD	STE 190 2804 GATEWAY OAKS DR	SACRAMENTO	CA	95833-4349	916.641.7400
HOLMES	BYRON	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
PARK	ROGER	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
CHENG	GEORGE	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
CATALDI	CHRISTOPHER	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
QUILLOPE	ANDREW	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
MERCIER	JAMES	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
MARUMOTO	KEVIN	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	562.981.6677
OKAZAKI	RAY	STE 190 3900 KILROY AIRPORT WAY	LONG BEACH	CA	90806-6815	714.827.1994
MOORE	BARBARA	STE 2 & 3 & 4 2087 GRAND CANAL BLVD	STOCKTON	CA	95207-6651	209.473.1131
SWANSON	LARRY	STE 2 & 3 & 4 2087 GRAND CANAL BLVD	STOCKTON	CA	95207-6651	209.473.1131
SHARP	THOMAS	STE 200 11201 GOLD EXPRESS DR	GOLD RIVER	CA	95670-6322	916.635.7801
ROTH	ROBERT	STE 200 11201 GOLD EXPRESS DR	GOLD RIVER	CA	95670-6322	916.635.7801
CHAI	JEAN	STE 200 1350 BURTON DR	VACAVILLE	CA	95687-3542	707.451.9885
BECCARI	ANTONIO	STE 200 1620 MILL ROCK WAY	BAKERSFIELD	CA	93311-1342	661.663.7410
SOWARD	JOHN	STE 200 3400 CENTRAL AVE	RIVERSIDE	CA	92506-2163	951.276.8484
KURTZ	CURTIS	STE 200 3780 KILROY AIRPORT WAY	LONG BEACH	CA	90806-2458	562.256.7030
GETINO	CARLOS	STE 200 3780 KILROY AIRPORT WAY	LONG BEACH	CA	90806-2458	562.256.7096
ELLIOTT	JUSTIN	STE 200 9245 LAGUNA SPRINGS DRIVE	ELK GROVE	CA	95758-7991	833.564.4881
HUCKINS	HOWARD	STE 202 41 E FOOTHILL BLVD	ARCADIA	CA	91006-2361	626.574.7887
LAUBACH	CHRISTOPHER	STE 203-C 216 N GLENDORA AVE	GLENDORA	CA	91741-6924	626.771.2938
LOO	CHRISTOPHER	STE 204 8339 CHURCH ST	GILROY	CA	95020-4450	408.846.1728
RABITO	EMILE	STE 206 425 W BONITA AVE	SAN DIMAS	CA	91773-2542	909.599.4557
BUICH	JENNIFER	STE 206A 2817 CROW CANYON ROAD	SAN RAMON	CA	94583-1639	925.820.0338
CREED	EDWARD	STE 207 5927 BALFOUR CT	CARLSBAD	CA	92008-7377	760.804.9372
BLEVINS	TIMOTHY	STE 208 3610 CENTRAL AVE	RIVERSIDE	CA	92506-5905	951.320.1500
ERLING	ROBERT	STE 210 3 BETTERWORLD CIR	TEMECULA	CA	92590-3745	951.296.5888
KOBASHIGAWA	GREGG	STE 213 5055 CANYON CREST DR	RIVERSIDE	CA	92507-6015	951.276.1180
PRETORIUS	JAN	STE 215 4455 MORENA BLVD	SAN DIEGO	CA	92117-4359	858.490.4288
DOVER	LEE	STE 2175 2301 ROSECRANS AVE	EL SEGUNDO	CA	90245-4968	310.220.2310
PALIWAL	RAJIV	STE 218 250 W 1ST ST	CLAREMONT	CA	91711-4748	909.622.1731
HALBREICH	JEFFREY	STE 218 26060 ACERO	MISSION VIEJO	CA	92691-2768	949.467.1159
PRABHAKAR	SUNIL	STE 219 2345 ERRINGER RD	SIMI VALLEY	CA	93065-2246	805.578.9200
FOSTER	SUZUANNE	STE 219 26060 ACERO	MISSION VIEJO	CA	92691-2768	949.891.7898
MICHAEL	BOULOS	STE 220 101 MAIN ST	HUNTINGTN BCH	CA	92648-8127	714.374.0300
ESCO	SCOTT	STE 220 1255 TREAT BLVD	WALNUT CREEK	CA	94597-7997	925.278.2550
LENFEST	GENO	STE 220 1255 TREAT BLVD	WALNUT CREEK	CA	94597-7997	925.278.2550
PAHAL	NAVNEET	STE 2245 401 W A ST	SAN DIEGO	CA	92101-7914	619.358.9893
LIN	JACK	STE 225 318 WESTLAKE CENTER	DALY CITY	CA	94015-1438	650.278.8897
PATEL	AMIT	STE 226 221 E WALNUT ST	PASADENA	CA	91101-1554	626.795.1267
FRIEDEMANN	CARL	STE 240 12700 STOWE DR	POWAY	CA	92064-8868	858.486.9900
SAMUEL	RONALD	STE 240 7111 N FRESNO ST	FRESNO	CA	93720-2959	559.435.2990
LEE	SEONG	STE 250 111 DEERWOOD RD	SAN RAMON	CA	94583-4446	925.236.2440
SHIRK	JASON	STE 250 2020 MAIN ST	IRVINE	CA	92614-8225	949.660.0058
SMITH	THOMAS	STE 250 2020 MAIN ST	IRVINE	CA	92614-8225	949.336.7990
JOHNSON	DEREK	STE 260 3390 UNIVERSITY AVE	RIVERSIDE	CA	92501-3315	951.276.0700
CHANG	VIVIAN	STE 270 221 E WALNUT ST	PASADENA	CA	91101-1520	626.585.8679
TARANTINO	ANTHONY	STE 270 4900 HOPYARD RD	PLEASANTON	CA	94588-3346	925.469.6100
EDWARDS	ANDREW	STE 275 13620 LINCOLN WAY	AUBURN	CA	95603-3264	530.823.9077
MURPHY	SEAN	STE 286 1451 RIVER PARK DR	SACRAMENTO	CA	95815-4522	916.669.9006
BODEMEIJER	DANIEL	STE 290 100 E THOUSAND OAKS	THOUSAND OAKS	CA	91360-8141	805.777.7875
GREITEN	JOHN	STE 290 1600 S MAIN ST	WALNUT CREEK	CA	94596-5388	925.356.8600
SILVA	WILLIAM	STE 290 2150 RIV PLZ DR	SACRAMENTO	CA	95833-4132	916.567.0489
KOVALEK	JOHN	STE 290 2150 RIV PLZ DR	SACRAMENTO	CA	95833-4132	916.567.0499

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NICHOLSON	ROBERT	STE 3 1301 L	MODESTO	CA	95354-0936	209.574.1003
EMGE	MICHAEL	STE 300 4 VENTURE	IRVINE	CA	92618-7384	949.453.0593
LAMMERS	MARK	STE 300 4 VENTURE	IRVINE	CA	92618-7384	949.453.0593
ARMIGO	ROBERTA	STE 302 225 E SANTA CLARA ST	ARCADIA	CA	91006-7234	626.623.6183
DAX	ANGELA	STE 325 200 PIER AVE	HERMOSA BEACH	CA	90254-3692	310.379.3175
VICENTE	JOSE	STE 340 2111 PALOMAR AIRPORT RD	CARLSBAD	CA	92011-1455	760.929.0776
EBBERT	JANICE	STE 340 55 E HUNTINGTON DR	ARCADIA	CA	91006-3247	818.459.0555
KOEHLER	JEAN	STE 340 55 E HUNTINGTON DR	ARCADIA	CA	91006-3247	626.254.0455
HUDSON	SHANA	STE 3500 1 SANSOME ST	SAN FRANCISCO	CA	94104-4436	415.946.8845
YU	STEPHEN	STE 36 101 GREGORY LN	PLEASANT HILL	CA	94523-4915	925.899.6466
WILSON	LEON	STE 36 101 GREGORY LN	PLEASANT HILL	CA	94523-4915	925.356.7600
WITH	JAMES	STE 36 101 GREGORY LN	PLEASANT HILL	CA	94523-4915	925.356.7600
JAMM	KATIANA	STE 360 1 PARK PLZ	IRVINE	CA	92614-2512	949.387.8016
JAMSHIDPOUR	YOUSEF	STE 360 1 PARK PLZ	IRVINE	CA	92614-2512	949.387.8014
PAPADOYANNIS	GEORGE	STE 360 1900 O FARRELL ST	SAN MATEO	CA	94403-1329	650.593.9170
SOO	SELINA	STE 360 1900 O FARRELL ST	SAN MATEO	CA	94403-1329	650.593.9170
LUCAS	JONATHAN	STE 375 533 AIRPORT BLVD	BURLINGAME	CA	94010-2043	650.401.2280
GOUDY	PATRICK	STE 375 533 AIRPORT BLVD	BURLINGAME	CA	94010-2043	650.401.2272
CORREA	ELADIO	STE 380 101 MAIN ST	HUNTINGTN BCH	CA	92648-8149	714.374.7010
CONSTANT	ATHENA	STE 380 12555 HIGH BLUFF DR	SAN DIEGO	CA	92130-2095	858.345.1870
HARRISON	PHILIP	STE 380 12555 HIGH BLUFF DR	SAN DIEGO	CA	92130-2095	858.345.1870
CHING	JOSE	STE 380 13181 CROSSROADS PARKWAY N	CITY INDUSTRY	CA	91746-3465	562.698.2604
LAHTINEN	ERIC	STE 400 311 CALIFORNIA ST	SAN FRANCISCO	CA	94104-2611	415.777.1719
EVANS	TROY	STE 400 311 CALIFORNIA ST	SAN FRANCISCO	CA	94104-2611	415.777.1717
KRAMER	KENDALL	STE 400 311 CALIFORNIA ST	SAN FRANCISCO	CA	94104-2611	415.777.1517
REINSDFORF	WALTER	STE 400 311 CALIFORNIA ST	SAN FRANCISCO	CA	94104-2611	415.777.1716
WARE	GREGORY	STE 400 311 CALIFORNIA ST	SAN FRANCISCO	CA	94104-2611	415.777.1833
WILLIAMS-GILMORE	JILL	STE 400 4314 REDWOOD HWY	SAN RAFAEL	CA	94903-2147	415.492.8222
HALL	CARROLL	STE 4-1 8900 GROSSMONT BLVD	LA MESA	CA	91941-4047	619.847.7410
LILJEGREN	RYAN	STE 440 24025 PARK SORRENTO	CALABASAS	CA	91302-9968	818.878.8622
SPACH	JAMES	STE 440 24025 PARK SORRENTO	CALABASAS	CA	91302-9968	818.264.0810
FOGG	RICHARD	STE 450 12626 HIGH BLUFF DR	SAN DIEGO	CA	92130-3022	858.693.7556
WONG	JOYCE	STE 455 1 KAISER PLAZA	OAKLAND	CA	94612-3684	510.891.7050
QUACH	PHUONG	STE 460 3945 FREEDOM CIR	SANTA CLARA	CA	95054-1253	408.330.9220
SIMPSON	RICHARD	STE 460 3945 FREEDOM CIR	SANTA CLARA	CA	95054-1253	408.330.9220
LEE	HELEN	STE 460 700 N BRAND BLVD	GLENDALE	CA	91203-1259	818.550.9980
WEINSTEIN	JACQUELINE	STE 460 700 N BRAND BLVD	GLENDALE	CA	91203-1259	818.550.9980
CLELAND	ROBERT	STE 470 1999 S BASCOM AVE	CAMPBELL	CA	95008-2203	408.879.6272
ARMER	TODD	STE 470 1999 S BASCOM AVE	CAMPBELL	CA	95008-2203	408.371.5478
ANTON	MICHAEL	STE 500 5855 TOPANGA CYN BLVD	WOODLAND HILLS	CA	91367-4679	818.227.9642
BARRY	WILLIAM	STE 500 5855 TOPANGA CYN BLVD	WOODLAND HILLS	CA	91367-4679	818.227.9642
KAMHOLTZ	DAVID	STE 505 6355 TOPANGA CYN BLVD	WOODLAND HILLS	CA	91367-2107	310.745.2007
LEWIN	ALEJANDRO	STE 505 6355 TOPANGA CYN BLVD	WOODLAND HILLS	CA	91367-2107	310.346.0961
STAHLEY	JONATHAN	STE 510 3655 NOBEL DR	SAN DIEGO	CA	92122-1051	858.459.8724
SMITH	PHILIP	STE 510 3655 NOBEL DR	SAN DIEGO	CA	92122-1051	858.917.5133
MCNAMARA	BRENDAN	STE 510 3655 NOBEL DR	SAN DIEGO	CA	92122-1051	858.842.3278
SHARIF	SYUD	STE 515 10801 NATL BLVD	LOS ANGELES	CA	90064-4144	310.446.1765
TAYLOR	JEFFREY	STE 520 6355 TOPANGA CANYON BLVD	WOODLAND HILLS	CA	91367-2149	818.703.0172
HASNAT	SAYEED	STE 520 6355 TOPANGA CANYON BLVD	WOODLAND HLS	CA	91367-2149	818.703.0223
YUN	HOKON	STE 540 180 S LAKE AVE	PASADENA	CA	91101-2666	626.844.3440
SANOM	DANIEL	STE 550 200 PRINGLE AVE	WALNUT CREEK	CA	94596-7301	925.979.0200
DANILSON	SCOTT	STE 550 200 PRINGLE AVE	WALNUT CREEK	CA	94596-7301	925.979.0200
KOSSEN	CAMERON	STE 550 200 PRINGLE AVE	WALNUT CREEK	CA	94596-7301	925.979.0200
ROQUE	GAIL	STE 555 80 S LAKE AVE	PASADENA	CA	91101-2599	626.744.9766
BERG	GARY	STE 630 1333 N CALIFORNIA	WALNUT CREEK	CA	94596-4538	925.295.1900
COMAR	EDWARD	STE 630 1333 N CALIFORNIA BLVD	WALNUT CREEK	CA	94596-4538	925.295.1900
HEENAN	DANIEL	STE 630 1333 N CALIFORNIA BLVD	WALNUT CREEK	CA	94596-4538	925.295.1900
JONGEWARD	MARK	STE 630 1333 N CALIFORNIA BLVD	WALNUT CREEK	CA	94596-4538	925.295.1900
LA ZARE	KIM	STE 655 18321 VENTURA BLVD	TARZANA	CA	91356-4250	818.708.0281
HEMANN	CAROLYN	STE 735 E 11835 W OLYMPIC BLVD	LOS ANGELES	CA	90064-5069	310.477.2500
TURNER	KAREN	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5326
WARD	ADAM	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5339
KOPpanyi	LISA	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5300
CIROCCO	JOANNE	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5300
LITTLEPAGE	BARBARA	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5300
ROAT	LEON	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5300
COOPER	DAVID	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5300
FELS	CHARLES	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5300
WOODDELL	THOMAS	STE 810 1 ALMADEN BLVD	SAN JOSE	CA	95113-2215	408.918.5336
MORISHITA	ROBIN	STE 880 21515 HAWTHORNE BLVD	TORRANCE	CA	90503-6511	310.543.9964
OKUDA	CLIFFORD	STE 880 21515 HAWTHORNE BLVD	TORRANCE	CA	90503-6511	310.543.9984
MEDINA	MICHELLE	STE 880 21515 HAWTHORNE BLVD	TORRANCE	CA	90503-6511	310.543.9954
GRAY	JAMES	STE 953 300 E ESPLANADE DR	OXNARD	CA	93036-1238	805.981.7771
CHOI	AUGUSTINE	STE 980W 11845 W OLYMPIC BLVD	LOS ANGELES	CA	90064-5172	310.694.0076
SHAH	SIDDHARTH	STE A 14778 PIPELINE AVE	CHINO HILLS	CA	91709-6028	909.597.7935
TETMEIR	STEPHEN	STE A 1521 HIGUERA ST	SN LUIS OBISP	CA	93401-2960	805.781.3700
HJERPE	WILLIAM	STE A 1766 3RD ST	NAPA	CA	94559-2804	707.257.6155
BURNS	TOM	STE A 301 S HAM LN	LODI	CA	95242-3547	209.367.0236
BEITER	KENNETH	STE A 38800 SKY CANYON DR	MURRIETA	CA	92563-2540	951.461.3160
RUIZ	ALFRED	STE A 929 N CENTRAL AVE	TRACY	CA	95376-3965	209.836.6400

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Last	First	Address	City	State	ZIP Code	Bus Phone
JONES	OLGA	STE B 407 W OJAI AVE	OJAI	CA	93023-2464	805.640.1651
TERANISHI	STEVE	STE D 3337 G ST	MERCED	CA	95340-0986	209.383.6577
OLSEN	CHRISTOPHER	STE H 801 S HAM LN	LODI	CA	95242-7502	209.367.8700
WALTERS	ASHLEY	SUITE 140 5405 MOREHOUSE DR	SAN DIEGO	CA	92121-4767	858.453.9500
SCHWAGER	JAMES	SUITE 140 5405 MOREHOUSE DRIVE	SAN DIEGO	CA	92121-4767	858.622.9239
CARRILLO	EUGENIO	SUITE 3 1301 L ST	MODESTO	CA	95354-0936	209.574.1000
GAILEY	SCOTT	SUITE 630 1333 N CALIFORNIA BLVD	WALNUT CREEK	CA	94596-4538	925.295.1900
DWORACZYK	TERRY	SUITES 104 & 102 2605 S MILLER ST	SANTA MARIA	CA	93455-1774	805.938.9724
KELLEY	CINDY	SUITES 104 & 102 2605 S MILLER ST	SANTA MARIA	CA	93455-1774	805.938.9724
LANG	KEVIN	UNIT 103 1700 S WINCHESTER BLVD	CAMPBELL	CA	95008-1163	408.559.6115
HENSLEY	BRADLEY	102 S UNION AVE STE 101	PUEBLO	CO	81003-3447	719.545.1831
WRIGHT	STEPHEN	102 S UNION AVE STE 101	PUEBLO	CO	81003-3447	719.545.1831
BARTH	MICHAEL	102 S UNION AVE STE 101	PUEBLO	CO	81003-3447	719.545.1831
MILLER	JOSHUA	16 INVERNESS PL BLDG B	ENGLEWOOD	CO	80112-5615	720.996.1302
BENGTSON	BRETT	16255 W 64TH AVENUE STE 5	ARVADA	CO	80007-7419	303.641.1640
MASON	LISA	1710 JET STREAM DR	COLORADO SPGS	CO	80921-3937	719.694.8711
HUBBARD	LARRY	1711 61ST AVE STE 200	GREELEY	CO	80634-3046	970.573.5500
KROPATSCH	PAUL	1745 SHEA CENTER DR STE 400	HIGHLANDS RANCH	CO	80129-1540	303.658.9232
FRANCO	PAUL	1910 VINDICATOR DR STE 104	COLORADO SPGS	CO	80919-3618	719.528.5882
MORITZ	DAVID	19751 E MAINSTREET STE R12	PARKER	CO	80138-7406	720.836.4534
MOORE	RYAN	21222 E SADDLE ROCK LN	AURORA	CO	80016-2651	720.808.0017
KNAPP	AMY	26267 CONIFER RD PO BOX 586	CONIFER	CO	80433-0586	303.697.0274
SCHUMACHER	STACIA	3001 BRIGHTON BLVD STE 769	DENVER	CO	80216-5075	720.532.8082
HARMAN	KARL	333 W DRAKE RD STE 130	FORT COLLINS	CO	80526-6319	970.223.4400
NICHOLAS	JOHN	4440 ARAPAHOE AVE STE 120	BOULDER	CO	80303-9101	720.635.8876
MCCORKEL	JULIE	4704 HARLAN ST STE 511A	DENVER	CO	80212-7427	717.903.9398
BILLINGSLEA	DAVID	5420 S QUEBEC ST STE 105	GREENWOOD VLG	CO	80111-1902	303.221.6416
GRIMM	WHITNEY	5420 S QUEBEC ST STE 105	GREENWOOD VLG	CO	80111-1902	303.221.6416
FONTENOT	TAMARA	5607 YUKON ST	ARVADA	CO	80002-2445	303.227.3600
FORBES	LISA	5755 MARK DABLING BLVD SUITE 370	COLORADO SPGS	CO	80919-2273	719.598.9442
YOUSAF	MANSOOR	6400 S FIDDLERS GREEN CIR STE 440	GREENWOOD VLG	CO	80111-4922	720.710.4446
YOUSAF	ALI	6400 S FIDDLERS GREEN CIR STE 440	GREENWOOD VLG	CO	80111-4922	720.710.4446
MORROW	NANCY	6830 EASTMOOR DRIVE	DENVER	CO	80237-2010	303.758.5787
BAKER	STEPHEN	8181 E TUFTS AVE STE 520	DENVER	CO	80237-2580	303.407.1250
HAUSER	SCOTT	2438 RESEARCH PKWY STE 105	COLORADO SPRINGS	CO	80920-1094	719.328.1050
UNFUG	CHRIS	743 HORIZON CT STE 302	GRAND JUNCTION	CO	81506-8707	970.243.9928
ZEIDMAN	KENT	STE 480	WESTMINSTER	CO	80031-7030	303.430.1010
MAEZ	KIMBERLY	BLDG B 16 INVERNESS PL E	ENGLEWOOD	CO	80112-5615	303.407.1275
DURNELL	ERIC	BLDG B 16 INVERNESS PL E	ENGLEWOOD	CO	80112-5615	720.266.1017
GANN	BRADFORD	STE 105 2438 RESEARCH PKWY	COLORADO SPGS	CO	80920-1094	719.328.1050
PARR	CHARLES	STE 120 4440 ARAPAHOE AVE	BOULDER	CO	80303-9101	303.442.0123
HIGGINS	MATHEW	STE 180 619 MAIN ST	GRAND JCT	CO	81501-2751	970.242.0027
ROHLFING	TIMOTHY	STE 205 1710 JET STREAM DR	COLORADO SPGS	CO	80921-3937	719.599.7431
STRICKMAN	ADAM	STE 300 9351 GRANT ST	THORNTON	CO	80229-4375	303.252.9777
LYNN	LISA	STE 310 2629 REDWING RD	FORT COLLINS	CO	80526-2879	970.206.0320
WALSH	DAMIAN	STE 330 640 PLAZA DR	HIGHLANDS RANCH	CO	80129-2399	303.425.0904
OLDHAM	JAMES	STE 520 8181 E TUFTS AVE	DENVER	CO	80237-2580	303.407.1250
CARPENTER	HENRY	STE 520 8181 E TUFTS AVE	DENVER	CO	80237-2580	303.407.1250
MAESTAS	TIMOTHY	STE 520 8181 E TUFTS AVE	DENVER	CO	80237-2580	303.407.1280
ELLIOTT	SUSAN	STE 520 8181 E TUFTS AVE	DENVER	CO	80237-2580	303.407.1250
BASTIAANS	ROBERT	STE 825 7979 E TUFTS AVE	DENVER	CO	80237-3002	303.689.7424
WARNKE	JASON	1 OLD MOUNTAIN RD	FARMINGTON	CT	06032-1703	860.470.0007
UDAL	MATTHEW	1 OLD MOUNTAIN RD	FARMINGTON	CT	06032-1703	860.470.0244
GUERRERA	LISA	10 ROBERTS LN STE 205	RIDGEFIELD	CT	06877-4071	877.237.3572
FRY	CHRISTOPHER	100 QUEEN ST	SOUTHINGTON	CT	06489-2052	860.426.9950
D'AMATO	RICHARD	100 QUEEN STREET	SOUTHINGTON	CT	06489-2052	860.628.5813
PEKALA	CHRISTOPHER	111 FOUNDERS PLAZA SUITE 1402	EAST HARTFORD	CT	06108-8312	860.436.9444
RIETBERG	KATHLEEN	12 DEVINE RD PO BOX 332	SUFFIELD	CT	06078-0332	860.254.5099
JOHNSON	CHARLES	157 CHURCH ST FL 19	NEW HAVEN	CT	06510-2100	475.655.3150
HEAGNEY	ROBERT	157 CHURCH ST FL 19	NEW HAVEN	CT	06510-2100	860.388.9560
KROLL	MALCOLM	18 N MAIN ST	W HTFD	CT	06107-1970	860.313.1128
FISH-KELLY	LAURA	180 GLASTONBURY BLVD STE 105	GLASTONBURY	CT	06033-4439	860.421.3330
BAUDOUIN	CHRISTOPHER	2 CORPORATE DR STE 644	SHELTON	CT	06484-6213	203.225.0252
TAYLOR	ROBERT	2 NORTH ST STE 3	WOLCOTT	CT	06716-1349	203.441.4412
CAMPOPIANO	RODNEY	207 W TOWN ST UNIT 2B	NORWICH	CT	06360-2130	860.574.9065
GORGONE	MICHAEL	207 W TOWN ST UNIT 2B	NORWICH	CT	06360-2130	860.287.9626
LYMAN	PATRICIA	213 COURT ST STE 601	MIDDLETOWN	CT	06457-3367	860.788.2954
BALESANO	JAMES	224 NEW LONDON TPKE	GLASTONBURY	CT	06033-2235	860.657.9465
BUTNICK	LESTER	224 NEW LONDON TPKE	GLASTONBURY	CT	06033-2235	860.652.9227
MORGAN	CHRISTIAN	227 MONROE TURNPIKE STE 1	MONROE	CT	06468-6202	203.261.7526
KENNEY-ROMANO	JOAN	2425 POST RD STE 302	SOUTHPORT	CT	06890-1267	203.222.4994
PROCACCINI	VINCENT	2425 POST RD STE 302	SOUTHPORT	CT	06890-1267	203.222.4994
SOMMA	ROBERT	2425 POST RD STE 302	SOUTHPORT	CT	06890-1267	203.222.4994
UFLAND	GLENN	250 STATE ST UNIT J2	NORTH HAVEN	CT	06473-2183	203.407.8189
BUCK	BRUCE	27 HARTFORD TPKE STE 208C	VERNON	CT	06066-5245	860.629.0610
KAPLOVE	SHARON	2777 SUMMER ST STE 209	STAMFORD	CT	06905-4383	203.968.1151
BORCHETTA	GENE	3 SCHOONER LANE STE 115	MILFORD	CT	06460-3377	203.878.0879
HOFFMAN	ROBERT	30 OLD KINGS HWY SOUTH	DARIEN	CT	06820-4551	203.610.2307
ROHNER	PAUL	324 WOLCOTT RD	BRISTOL	CT	06010-7157	860.582.8854
MC CABE	JAMES	329 MAIN ST	PORTLAND	CT	06480-1561	860.342.1756

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Last	First	Address	City	State	ZIP Code	Bus Phone
ANTOSH	EUGENE	329 MAIN STREET	PORTLAND	CT	06480-1561	860.788.2415
RAZZINO	PIETRO	4 CORPORATE DR STE 480	SHELTON	CT	06484-6263	203.225.0805
BRODER	JOSHUA	430 HIGHLAND AVE	CHESHIRE	CT	06410-2565	203.823.9114
KALIVAS	CONSTANTINE	44 OLD RIDGEFIELD RD STE 216	WILTON	CT	06897-3014	203.454.5400
NEWMAN	JON	51 CHURCH ST	GREENWICH	CT	06830-5603	203.861.1700
CHAPIS	CHERYL	53 LINWOOD ST	BRISTOL	CT	06010-7039	203.732.5161
GAGLIARDI	CAMILLE	57 N MAIN ST	W HTFD	CT	06107-1923	860.313.1313
DEZZUTTI	JOHN	57 NORTH ST STE 208	DANBURY	CT	06810-5627	860.361.9020
SHERIDAN	STEVEN	63 HIGH ST	SUFFIELD	CT	06078-2113	860.668.4040
BERUBE	DAVID	63 HIGH ST	SUFFIELD	CT	06078-2113	860.668.4040
COPPOLA	CHRISTOPHER	66 HERITAGE DR	BERLIN	CT	06037-3945	203.407.8188
O'BRIEN	PATRICK	66 MAIN ST STE 1	PUTMAN	CT	06260-1959	860.208.9913
STEINMETZ	DEBRA	835 STRAITS TPKE STE A	MIDDLEBURY	CT	06762-2812	800.895.6625
JONES	MARK	835 STRAITS TPKE STE A	MIDDLEBURY	CT	06762-2812	800.895.6625
BEARCE	DIANE	835 STRAITS TPKE STE A	MIDDLEBURY	CT	06762-2812	800.895.6625
CORMIER	HENRY	850 FARMINGTON AVE	FARMINGTON	CT	06032-2350	860.284.9882
BENAITIS	JEFFREY	8TH FLOOR 99 E RIVER DR	EAST HTFD	CT	06108-7301	860.466.7134
CHRISTIE	CARL	8TH FLOOR 99 E RIVER DR	EAST HARTFORD	CT	06108-7301	860.291.9160
HANNAH	DAVID	8TH FLOOR 99 E RIVER DR	EAST HTFD	CT	06108-7301	860.466.7151
IRIZARRY	JOSEPH	90 OXFORD RD	OXFORD	CT	06478-1930	203.881.5504
SZEPESI	ARTHUR	900 MAIN ST S STE 100	SOUTHBURY	CT	06488-4213	203.267.5888
BARTOSIAK	THEODORE	91 S MAIN ST	WEST HARTFORD	CT	06107-2509	860.521.4470
GIBELEY	PATRICIA	91 SOUTH MAIN ST	W HARTFORD	CT	06107-2509	860.521.4470
ELLIS	MATTHEW	945 MAIN ST STE 305	MANCHESTER	CT	06040-6064	860.533.0063
KING	LEIGH	963 HOPMEADOW ST	SIMSBURY	CT	06070-1824	860.651.5969
SUTKOWSKI	BRUCE	99 E RIVER DR 8TH FLOOR	EAST HARTFORD	CT	06108-7301	860.291.9160
TARBELL	DANIEL	99 E RIVER DR 8TH FLOOR	EAST HARTFORD	CT	06108-7301	860.291.9160
LOOMER	ALFRED	99 E RIVER DR FL 8	EAST HARTFORD	CT	06108-7301	860.466.7130
DAOUD	NANCY	90 OXFORD RD	OXFORD	CT	06478-1930	203.881.5504
LASSOW	LEWIS	FL 8	EAST HARTFORD	CT	06108-7301	860.291.9160
GAUTHIER	GARY	FL 8	EAST HARTFORD	CT	06108-7301	860.466.7144
VOGLER	RICHARD	FL 8	EAST HARTFORD	CT	06108-7301	860.466.7272
MCLAUGHLIN	JOHN	STE 903A	EAST HARTFORD	CT	06108-3212	716.379.8525
CERNIGLIA	JASON	FL 1 41 E MAIN ST	MYSTIC	CT	06355-2831	860.245.0251
SALERNO	ANTHONY	FL 3 2507 POST RD	SOUTHPORT	CT	06890-1259	203.604.1127
FEINSTEIN	MICHAEL	FL 3 2507 POST RD	SOUTHPORT	CT	06890-1259	203.610.8234
LALICH	DAVID	FL 3 2507 POST RD	SOUTHPORT	CT	06890-1259	203.275.8310
FORMA	NOEL	FL 3 2507 POST RD	SOUTHPORT	CT	06890-1259	203.610.8231
FISSETTE	JENNIFER	FL 8 99 E RIVER DR	EAST HTFD	CT	06108-7301	860.610.2022
HAAS	STEVEN	STE 100 900 MAIN ST S	SOUTHBURY	CT	06488-4213	203.262.8005
LEONE	DENNIS	STE 1402 111 FOUNDERS PLZ	EAST HARTFORD	CT	06108-8312	860.289.9200
HENEHAN	JOHN	STE 1402 111 FOUNDERS PLZ	EAST HARTFORD	CT	06108-8312	860.218.2235
NICHOLS	TERRENCE	STE 1503 111 FOUNDERS PLZ	EAST HARTFORD	CT	06108-3289	860.290.8880
HEDLUND	JENNIFER	STE 1503 111 FOUNDERS PLZ	EAST HARTFORD	CT	06108-3289	860.610.0050
DEVEAU	SHERRIE	STE 1503 111 FOUNDERS PLZ	EAST HARTFORD	CT	06108-3289	860.290.8880
BLANKENSHIP	TIMOTHY	STE 201 900 MAIN ST S	SOUTHBURY	CT	06488-2224	203.262.8005
TATA	DEBORAH	STE 204B 530 MIDDLEBURY RD	MIDDLEBURY	CT	06762-2546	203.758.2456
CHAFFEE	MICHAEL	STE 206 2505 MAIN ST	STRATFORD	CT	06615-5813	203.386.1997
RASMUSSEN	WILLIAM	STE 208 57 NORTH ST	DANBURY	CT	06810-5627	203.748.3751
CHRISTENSEN	JEFFRY	STE 209 6 THORNDALE CIR	DARIEN	CT	06820-5415	203.656.1945
WEBBER	MATTHEW	STE 2A 1495 BLACK ROCK TPKE	FAIRFIELD	CT	06825-4165	203.307.5237
LEONE	SCOTT	STE 302B 22 PINE ST	BRISTOL	CT	06010-6951	860.314.0221
COUZENS	MATTHEW	STE 408 95 GLASTONBURY BLVD	GLASTONBURY	CT	06033-4412	860.430.1919
WISCHOW	KURT	STE 480 4 CORPORATE DR	SHELTON	CT	06484-6263	203.925.5906
ROOT	JONATHAN	STE E1 250 STATE ST	NORTH HAVEN	CT	06473-2182	203.407.8188
BORAJKIEWICZ	CHRISTOPHER	STE E1 250 STATE ST	NORTH HAVEN	CT	06473-2182	203.407.8188
LUCARELLI	ROBERT	STE E1 250 STATE ST	NORTH HAVEN	CT	06473-2182	203.407.8188
NEMPHOS	WILLIAM	UNIT J2 250 STATE ST	NORTH HAVEN	CT	06473-2183	203.407.8189
MILLER	DICKINSON	1220 19TH ST NW STE 205	WASHINGTON	DC	20036-2474	202.293.9797
MORGAN	AWAD	STE 630 1001 CONNECTICUT AVE NW	WASHINGTON	DC	20036-5590	202.750.7904
BETZ	JASON	1 RIGHTER PKWY STE 250	WILMINGTON	DE	19803-1555	302.482.3049
GIBLER	PAUL	103 BROOK RUN	HOCKESSIN	DE	19707-2405	302.235.5765
RICHMAN	GARY	19468 MANCHESTER DR	REHOBOTH BCH	DE	19971-4019	410.653.0001
DEMARS	JAMES	5195 W WOODMILL DR SUITE 27	WILMINGTON	DE	19808-4067	302.995.7526
VERBANAS	MARK	625 BARKSDALE RD STE 105	NEWARK	DE	19711-4535	302.366.1308
DI SABATINO	CLARENCE	STE 10 1309 VEALE RD	WILMINGTON	DE	19810-4609	302.478.2801
ORTH	KIMBERLEE	STE 1000 3513 CONCORD PIKE	WILMINGTON	DE	19803-5073	302.475.5105
SALINSKI	JASON	STE 104 224 E DELAWARE AVE	NEWARK	DE	19711-4633	302.444.8474
DE PRISCO	JEFFREY	STE 104 224 E DELAWARE AVE	NEWARK	DE	19711-4633	302.444.8362
FARABAUGH	RANDAL	STE 201 2 RIGHTER PKWY	WILMINGTON	DE	19803-1529	302.476.8000
HAYES	JAMES	STE 201 2 RIGHTER PKWY	WILMINGTON	DE	19803-1529	302.476.8000
BOATMON	MATTHEW	STE 201 2106 SILVERSIDE RD	WILMINGTON	DE	19810-4164	302.475.2357
AMODEI	JOSEPH	STE 250 1 RIGHTER PARKWAY	WILMINGTON	DE	19803-1555	302.656.7773
GIOIA	MICHAEL	STE 27 3520 SILVERSIDE RD	WILMINGTON	DE	19810-4933	302.479.7780
BAUERS	KATHY	STE 27 5195 W WOODMILL DR	WILMINGTON	DE	19808-4067	302.995.7526
ALLEN	ROBERT	STE 27 5195 W WOODMILL DR	WILMINGTON	DE	19808-4067	302.995.7526
FAIRCHILD	THOMAS	STE 307 131 CONTINENTAL DR	NEWARK	DE	19713-4324	302.366.1125
ERHARD	BRIDGET	STE 399 6 LARCH AVE	WILMINGTON	DE	19804-2356	302.225.2866
SCHEFF	RONALD	STE C 6300 LIMESTONE RD	HOCKESSIN	DE	19707-9178	302.239.0123
JAHN	STANLEY	10 1ST AVE	ENGLEWOOD	FL	34223-3659	941.475.7561

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Last	First	Address	City	State	ZIP Code	Bus Phone
KREUZIGER	MICHAEL	10 1ST AVE	ENGLEWOOD	FL	34223-3659	941.475.7561
KASTURI	SAROJ	10 FLORIDA PARK DRIVE N STE D	PALM COAST	FL	32137-3893	386.597.2994
HEINRICHS	THOMAS	100 S ASHLEY DR STE 600	TAMPA	FL	33602-5300	813.777.0091
HUNTLEY	THOMAS	10161 CENTURION PKWY N STE 105	JACKSONVILLE	FL	32256-0523	904.801.1670
FERTENBAUGH	CRAIG	10175 FORTUNE PKWY STE 204	JACKSONVILLE	FL	32256-6748	904.519.0551
SMITH	CHERYL	105 S ARMENIA AVE	TAMPA	FL	33609-3307	813.443.8423
DARRESS	TODD	1054 20TH PL	VERO BEACH	FL	32960-5360	772.770.3700
WILLIAMS	MICHAEL	1054 20TH PL	VERO BEACH	FL	32960-5360	772.770.3700
SILVA	LAUREN	1103 W CLEVELAND ST	TAMPA	FL	33606-1914	813.870.0892
OSGOOD	JENNIFER	1103 W CLEVELAND ST	TAMPA	FL	33606-1914	813.870.0892
ECKLUND	DARCY	1103 W CLEVELAND ST	TAMPA	FL	33606-1914	813.288.8776
TABACHNICK	AMANDA	11065 GATEWOOD DR UNIT C-103	BRADENTON	FL	34211-4944	941.748.6500
KENNEDY	KERRY	1108 S WASHINGTON AVE	TITUSVILLE	FL	32780-4234	321.383.8464
GUARINO	MICHAEL	1108 S WASHINGTON AVE	TITUSVILLE	FL	32780-4234	321.383.8464
MARTIN	STEPHEN	111 2ND AVE NE STE 910	ST PETERSBURG	FL	33701-3474	727.456.0016
WHALEY	DAVID	1111 3RD AVENUE W STE 260	BRADENTON	FL	34205-7858	941.462.4435
HOWARD	JOHN	1117 THOMASVILLE ROAD	TALLAHASSEE	FL	32303-6223	850.766.7462
VELASQUEZ	DIEGO	11555 HERON BAY BVD STE 200	CORAL SPRINGS	FL	33076-3362	954.603.0516
CEBERT	DALE	11714 NE 62 TERRACE SUITE 100	THE VILLAGES	FL	32162-8624	352.674.4200
GHINGHER	DAVID	12 N BROAD ST	BROOKSVILLE	FL	34601-2921	727.430.6369
LAFLAMME	MARK	120 S WOODLAND BLVD STE 207	DELAND	FL	32720-5458	386.279.4849
WHITE	ROBERT	1206 MILLENNIUM PKWY STE 2001	BRANDON	FL	33511-3895	813.661.6077
MEYER	WENDY	121 SE RUTLEDGE ST	MADISON	FL	32340-2767	850.973.8888
JONES	GEOFFREY	122 4TH AVENUE STE 102	INDIALANTIC	FL	32903-3112	321.984.2186
LOVOY	JOSEPH	125 W ROMANA ST STE 610	PENSACOLA	FL	32502-5849	850.476.0903
NEWCOMB	THOM	125 W ROMANA ST STE 610	PENSACOLA	FL	32502-5849	850.438.9118
JOHNSON	ASHLEY	13055 W LINEBAUGH AVE STE 101	TAMPA	FL	33626-4426	727.216.0170
ARDOLINO	PETER	1319 CAPE CORAL PKWY E	CAPE CORAL	FL	33904-8927	239.549.1880
REHBEIN	LAURA	BIG JOHNS SHOPPING CENTER	TAMPA	FL	33618-2416	813.319.0011
NICOLOSI	JOHN	13920 N DALE MABRY HWY	TAMPA	FL	33618-2416	813.319.0011
SANDERS	SCOTT	14311 METROPOLIS AVE STE 205	FORT MYERS	FL	33912-4442	239.768.7007
MOLNAR	RUDOLF	14311 METROPOLIS AVE STE 205	FORT MYERS	FL	33912-4442	239.768.7007
PHILIPPEAUX	JAMES	151 107TH AVE STE 1	TREASURE ISLAND	FL	33706-4734	727.815.0300
NAST	CHRISTOPHER	15715 S DIXIE HWY STE 413	PALMETTO BAY	FL	33157-1884	305.256.1932
BUTLER	KATHLEEN	1619 W GULF TO LAKE HWY	LECANTO	FL	34461-7725	352.746.9006
LAROCCO	KARI	164 PONDELLA RD	N FORT MYERS	FL	33903-3846	239.656.1617
WINTER	KEITH	1646 W SNOW AVE STE 17	TAMPA	FL	33606-2837	813.603.8400
BETONI	JULIE	1680 THE GREENS WAY STE 200	JACKSONVILLE	FL	32250-1422	904.222.6495
BERG	BRADLEY	1680 THE GREENS WAY STE 200	JAX BCH	FL	32250-1422	904.395.3308
DOTTERWEICH	VINCENT	18167 US HWY 19 N UNIT 195	CLEARWATER	FL	33764-6566	727.535.1488
SOULE	COLLIN	1819 MAIN ST STE 240	SARASOTA	FL	34236-5894	973.216.3873
OSTERBERGER	KEVIN	18514 US HIGHWAY 19 N STE A	CLEARWATER	FL	33764-2764	727.524.3000
SARKIN	JEFFREY	1875 NW CORPORATE BLVD STE 205	BOCA RATON	FL	33431-8550	561.467.4700
STEINMARK	FRED	1875 NW CORPORATE BLVD STE 205	BOCA RATON	FL	33431-8550	561.467.4701
BASSOFF	SETH	1875 NW CORPORATE BLVD STE 280	BOCA RATON	FL	33431-8562	561.288.8477
DHAWAN	SIDDHARTH	1875 NW CORPORATE BLVD STE 280	BOCA RATON	FL	33431-8562	561.515.2971
SARAOGI	ADITYA	18851 NE 29TH AVE STE 728	MIAMI	FL	33180-2808	305.760.6730
CLIFTON	WILLIAM	18851 NE 29TH AVE STE 728	MIAMI	FL	33180-2808	305.760.6730
TAYLOR	STEVEN	1907 SW AUTUMNWOOD WAY	PALM CITY	FL	34990-7749	772.221.1644
ROSLONOWSKI	SCOTT	1910 LAKELAND HILLS BLVD	LAKELAND	FL	33805-2902	863.688.6863
BOUCHER	DEREK	2050 S PATRICK DRIVE SUITE B	INDN HBR BCH	FL	32937-4431	321.428.3522
PREWITT	KRISTEN	2050 SOUTH PATRICK DRIVE STE B	INDN HBR BCH	FL	32937-4431	321.428.3523
LEWKOWITZ	SHARON	207 E LIVINGSTON ST	ORLANDO	FL	32801-1508	407.447.4601
DANCEK	EDWARD	209 S HOWARD AVE	TAMPA	FL	33606-1726	813.805.0900
PETERSON	ANNE	209 TABOR ST	PUNTA GORDA	FL	33950-4036	941.639.4455
HEIDORN	PATTI	210 S PINELLAS AVE STE 170	TARPON SPRINGS	FL	34689-3656	727.361.0440
STEWART	ELIZABETH	2101 NW CORPORATE BLVD STE 208	BOCA RATON	FL	33431-7343	561.953.9370
LAMBERT	MARLA	217 S SWOOPE AVE	MAITLAND	FL	32751-5717	407.849.1123
NGUYEN	VINH	217 S SWOOPE AVE	MAITLAND	FL	32751-5717	407.839.1182
MILLER	MICHAEL	223 PASADENA PL	ORLANDO	FL	32803-3827	407.447.7778
SCHAFFER	RUSSELL	2233C SE FT KING ST	OCALA	FL	34471-2563	352.629.7417
HOFFMEISTER	JAY	2295A SW MARTIN HWY	PALM CITY	FL	34990-3274	772.283.6666
LA BREE	JOSEPH	2310 MANATEE AVE W	BRADENTON	FL	34205-5432	941.755.6999
STAHL	MICHELE	2310 MANATEE AVE W	BRADENTON	FL	34205-5432	941.758.5910
TUCKER	CATHERINE	2325 STANFORD COURT	NAPLES	FL	34112-4813	239.304.9345
CALLAHAN	COLIN	24 CATHEDRAL PL STE 206	SAINT AUGUSTINE	FL	32084-4466	513.594.0893
VEENEMAN	ROBERT	2431 ALOMA AVE STE 165	WINTER PARK	FL	32792-2541	410.964.4962
KUDRNA	RONALD	2477 STICKNEY POINT RD STE 123	SARASOTA	FL	34231-4076	941.927.7555
MC LENDON	ERIC	25 W CEDAR ST STE 207	PENSACOLA	FL	32502-5975	850.860.2600
RETTIG	JOSEPH	2500 NE COACHMAN RD	CLEARWATER	FL	33765-1814	727.786.2427
BODDEN	GENE	2605 ENTERPRISE RD E STE 300	CLEARWATER	FL	33759-1068	727.726.7565
MAZO	RICHARD	2605 ENTERPRISE RD E STE 300	CLEARWATER	FL	33759-1068	603.606.4255
LACY	KRISTINE	276 BREVARD AVE	COCOA	FL	32922-7969	321.638.9992
BURBANO	CHERYL	28943 STATE ROAD 54	WESLEY CHAPEL	FL	33543-3218	813.994.1190
CHRISTOPHER	JEFFREY	28943 STATE ROUTE 54	WESLEY CHAPEL	FL	33543-3218	813.994.1190
CAGNASSOLA	MARK	301 SW ALBANY AVE	STUART	FL	34994-2031	772.286.4841
ANASTASIA	JOHN	3086 3RD ST S	JAX BCH	FL	32250-6033	904.372.0129
CASEY	BRIAN	3201 SW 34TH AVE STE 105	OCALA	FL	34474-7423	352.291.0040
SMITH	TODD	3201 SW 34TH AVE STE 105	OCALA	FL	34474-7423	352.291.2300
		3326 MARY ST STE 201	COCONUT GROVE	FL	33133-1902	786.220.2963

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Last	First	Address	City	State	ZIP Code	Bus Phone
BLANKENSHIP	WILLIAM	3507 WEDGEWOOD LANE	THE VILLAGES	FL	32162-7187	352.775.4023
VAN VOORHEES	STEVEN	3507 WEDGEWOOD LN	THE VILLAGES	FL	32162-7187	352.350.2397
HARVEY	KAREN	3520 NW 43RD ST	GAINESVILLE	FL	32606-6104	352.331.0313
ONKST	REGINA	3520 NW 43RD ST	GAINESVILLE	FL	32606-6104	502.558.2260
THOMPSON	GARY	376 AHERN ST	ATLANTIC BEACH	FL	32233-5248	904.576.0600
COLBERT	CHAD	3999 N HARBOR CITY BLVD	MELBOURNE	FL	32935-5752	321.242.7500
GULL	THOMAS	400 E MERRITT AVE STE F	MERRITT ISLAND	FL	32953-3434	321.452.4220
PINA	OSCAR	4000 PONCE DE LEON BLVD STE 470	MIAMI	FL	33146-1432	305.444.7317
MANDART	TRACY	401 E LAS OLAS BLVD STE 1400	FT LAUDERDALE	FL	33301-2218	954.332.2411
GROTLISCH	GEORGE	405 FIFTH AVENUE SOUTH SUITE 7	NAPLES	FL	34102-6515	239.300.4984
SCHOEPLER	BRANDON	420 S CEDAR AVE	TAMPA	FL	33606-2221	813.253.3171
BECAITI	LANCE	4207 W BAY TO BAY BLVD	TAMPA	FL	33629-6605	813.258.0777
YARLETTS	DAVID	421 N ORANGE AVE	SARASOTA	FL	34236-5003	941.364.9009
BROUILETTE	EMILY	422 FLEMING ST	KEY WEST	FL	33040-6529	305.394.5715
STONER	RICHARD	424 22ND AVE N	ST PETERSBURG	FL	33704-4346	727.767.9166
STEWART	C	4440 PGA BLVD STE 600	PALM BCH GDNS	FL	33410-6542	561.627.4150
TRAINOR	JOSEPH	4651 SALISBURY RD STE 275	JACKSONVILLE	FL	32256-6190	904.551.0526
SCOTT	DOREEN	4807 US HIGHWAY 19 SUITE 206	NEW PORT RICHEY	FL	34652-4260	727.484.3237
ENRIQUEZ	WILLIAM	500 S AUSTRALIAN AVE STE 500	WEST PALM BCH	FL	33401-6206	561.932.1130
HIGGINBOTHAM	JOHN	510 S PALM AVE	PALATKA	FL	32177-4148	386.328.2221
JACOBI	CHRISTOPHER	5101 N 12TH AVE N STE A	PENSACOLA	FL	32504-8928	850.476.5773
PEACOCK	DREW	5101 N 12TH AVE STE A	PENSACOLA	FL	32504-8928	850.476.5773
CARVER	JEREMY	5101 N 12TH AVE STE A	PENSACOLA	FL	32504-8928	850.390.7224
STEWART	KIMBERLY	513 NORTH PARRAMORE AVENUE	ORLANDO	FL	32801-1126	407.425.9101
PASCHALL	RICKEY	5236 WILLING ST	MILTON	FL	32570-4971	850.623.9600
SHIER	TODD	5240 BABCOCK ST NE STE 110	PALM BAY	FL	32905-4615	321.951.1335
MCSWEEN	EDRIC	5621 STRAND BLVD STE 304	NAPLES	FL	34110-7307	410.625.6442
DONOGHUE	KEVIN	595 MAIN ST	DUNEDIN	FL	34698-4903	727.734.0886
ROMANAC	THOMAS	6 POPLAR TRAIL	OCALA	FL	34480-9475	352.509.2177
COKE	JOAN	6 POPLAR TRL	OCALA	FL	34480-9475	352.509.2173
JOHNSON	GORDON	601 N NEW YORK AVE STE 211	WINTER PARK	FL	32789-3103	407.629.1122
PINCHAL	TARA	601 N NEW YORK AVE STE 211	WINTER PARK	FL	32789-3103	407.629.1122
MEGIBOW	BRIAN	6150 DIAMOND CENTRE CT UNIT 800 STE 2	FORT MYERS	FL	33912-7147	239.219.1750
PLANES	FRANK	6151 LAKE OSPREY DR STE 329	LAKEWOOD RCH	FL	34240-8419	941.216.0679
FLAMMIO-WATSON	LEASHA	6555 N WICKHAM RD STE 102	MELBOURNE	FL	32940-2040	321.622.8371
HORNUNG	TIMOTHY	6710 PROFESSIONAL PKWY W STE 320	LAKEWOOD RANCH	FL	34240-5808	941.216.3737
ZARLENGA	JOSEPH	6710 PROFESSIONAL PKWY W STE 320	LAKEWOOD RANCH	FL	34240-5808	941.216.3737
FLYNN	BRANDON	6817 SOUTHPOINT PKWY STE 1001	JACKSONVILLE	FL	32216-6294	904.475.2980
MC KANNA	KEVIN	6817 SOUTHPOINT PKWY STE 1103	JACKSONVILLE	FL	32216-6295	904.421.7524
ROMAINE	MARY	6817 SOUTHPOINT PKWY STE 1303	JACKSONVILLE	FL	32216-6297	904.279.1660
FORTE	LINDA	6817 SOUTHPOINT PKWY STE 1303	JACKSONVILLE	FL	32216-6297	904.332.9235
MELO	JOHN	6943 N. WICKHAM RD	MELBOURNE	FL	32940-7519	321.610.4644
WILSON	DAVID	70 BAHAMA AVE	KEY LARGO	FL	33037-4349	305.451.1870
KING	NOAH	700 W 23RD ST STE 29D	PANAMA CITY	FL	32405-3932	850.640.1494
UMANSKY	ALEX	701 MARKET ST STE 107A	ST AUGUSTINE	FL	32095-8803	815.708.6112
LAMB	GRAEME	701 MARKET ST STE 107A	ST AUGUSTINE	FL	32095-8803	603.232.8230
DONNER	EDWARD	7125 TURNER RD STE 101	ROCKLEDGE	FL	32955-5726	321.956.3447
MOORE	JONATHAN	7188 BENEVA RD	SARASOTA	FL	34238-2804	941.929.1888
HERRAN	ALBERTO	719 PEACHTREE RD	ORLANDO	FL	32804-6851	407.206.7474
MC LEAN	JAMES	719 PEACHTREE RD	ORLANDO	FL	32804-6851	407.206.7475
MARSHALL	MARK	719 PEACHTREE RD STE 100	ORLANDO	FL	32804-6821	407.843.7163
SANTIAGO	CONRAD	719 PEACHTREE RD STE 100	ORLANDO	FL	32804-6821	407.206.7477
PICCIONE	MICHAEL	7216 US HIGHWAY 301 STE 107	ELLENTON	FL	34222-3463	813.633.1500
EDWARDS	GRAHAM	7317 MERCHANT CT STE B	LAKEWOOD RANCH	FL	34240-8464	941.217.2292
MARTONE-CECIL	RENEE	7321 MERCHANT CT STE A	LAKEWOOD RCH	FL	34240-8466	941.907.0708
EWING	ELIAH	7432 MONIKA MANOR DR	TAMPA	FL	33625-5826	813.448.7080
CHARBONEAU	SCOTT	7432 MONIKA MANOR DR	TAMPA	FL	33625-5826	352.540.0957
SCHNEIDER	RAOUL	7432 MONIKA MANOR DR	TAMPA	FL	33625-5826	813.448.7080
WHITMORE	ANDREW	7432 MONIKA MANOR DR	TAMPA	FL	33625-5826	813.448.7080
BORTH	DEBRA	7432 MONIKA MANOR DR	TAMPA	FL	33625-5826	813.580.8870
QUINONES	JAVIER	8353 SW 124TH ST STE 104	MIAMI	FL	33156-5847	786.681.0888
DIAZ	SUMMER	8390 SW 72ND AVE APT 142B	MIAMI	FL	33143-7664	305.800.7526
STRYKOWSKI	PHILIP	9015 STRADA STELL COURT STE 103	NAPLES	FL	34109-4373	978.692.0885
NARDELLA	JASON	9015 STRADA STELL CT UNIT 103	NAPLES	FL	34109-4373	239.325.1041
HORVATH	MIGUEL	9130 S DADELAND BLVD STE 1903	MIAMI	FL	33156-7858	305.670.7425
HERNANDO	FRANCISCO	9130 S DADELAND BLVD STE 1903	MIAMI	FL	33156-7858	786.478.3673
ROUTIE	RICHARD	924 N MAGNOLIA AVE STE 302	ORLANDO	FL	32803-3849	407.286.4466
WILLIAM	CAELI	9350 S DIXIE HWY STE 1220	MIAMI	FL	33156-2945	305.670.5575
BLUM	JEFFREY	9350 S DIXIE HWY STE 1410	MIAMI	FL	33156-2997	305.330.5372
BOYLE	KELLY	980 N FEDERAL HWY STE 442	BOCA RATON	FL	33432-2712	561.756.8643
TORRES	FRANCISCO	980 N FEDERAL HWY STE 442	BOCA RATON	FL	33432-2712	561.756.8643
MENNITI	VINCENT	9825 MARINA BLVD	BOCA RATON	FL	33428-6628	561.843.2406
PETERSEN	STEVEN	1910 LAKELAND HLS BLVD	LAKELAND	FL	33805-2902	863.688.6863
MCWILLIAMS	KEVIN	1910 LAKELAND HLS BLVD	LAKELAND	FL	33805-2902	863.688.6863
MISENHEIMER PELOT	SANDY	STE 1103	JACKSONVILLE	FL	32216-6220	904.421.7530
ELLISOR	JAMES	STE 1103	JACKSONVILLE	FL	32216-6220	904.421.7550
FOX	DAVID	STE 1103	JACKSONVILLE	FL	32216-6220	904.421.7555
SMITH	BONNIE	STE 1103	JACKSONVILLE	FL	32216-6220	904.421.7535
KALB	CHARLES	STE 1103	JACKSONVILLE	FL	32216-6220	904.421.7526
ADE	WILLIAM	STE 1103	JACKSONVILLE	FL	32216-6220	904.421.7557

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SOLIS	ROGER	BLDG 60 STE 3 12620 WORLD PLZ LN	FORT MYERS	FL	33907-3996	239.931.3242
DRONE	AARON	EXECUTIVE SUITE 212 1635 E HIGHWAY 50	CLERMONT	FL	34711-5034	321.331.1186
THOMPSON	DAVID	PO BOX 7890 10410 SEMINOLE BLVD	SEMINOLE	FL	33778-4046	727.291.4120
PEGGS	JOSEPH	PO BOX 7890 10410 SEMINOLE BLVD STE 2A	SEMINOLE	FL	33775-7890	727.391.1707
FRAHER	MICHAEL	STE 100 719 PEACHTREE RD	ORLANDO	FL	32804-6821	407.206.7487
RONCA	BRANDON	STE 100 719 PEACHTREE RD	ORLANDO	FL	32804-6821	407.839.0440
FRANCIS	CARLTON	STE 1000 8201 PETERS RD	PLANTATION	FL	33324-3266	954.834.3535
HILL	JON	STE 1001 6817 SOUTHPOINT PKWY	JACKSONVILLE	FL	32216-6294	904.475.2980
OLDANO	RONALD	STE 101 27440 CASHFORD CIR	WESLEY CHAPEL	FL	33544-6941	813.428.5900
PRUE	MARK	STE 101 6144 ABBOTT STA DR	ZEPHYRHILLS	FL	33542-4826	813.788.2100
BUTCHER	JAMES	STE 101 8270 COLLEGE PKWY	FORT MYERS	FL	33919-5106	239.437.9300
DEMARAIS	SCOTT	STE 101 8270 COLLEGE PKWY	FORT MYERS	FL	33919-5106	239.437.9300
LEOPIZZI	ANTHONY	STE 101-A 12330 TAMiami TRL E	NAPLES	FL	34113-7931	914.997.7526
MULLINS	WESLEY	STE 102 2940 KERRY FRST PKWY	TALLAHASSEE	FL	32309-6899	850.906.9861
BERGSTROM	RICHARD	STE 102 2940 KERRY FRST PKWY	TALLAHASSEE	FL	32309-6899	850.906.0264
TANNER	JODI	STE 102 413 NE VAN LOON LN	CAPE CORAL	FL	33909-2528	239.242.0326
D'ANDREA	CHRISTOPHER	STE 102 413 NE VAN LOON LN	CAPE CORAL	FL	33909-2528	321.427.8834
ISAACSON	PATRICIA	STE 105 8112 CENTRALIA CT	LEESBURG	FL	34788-3701	352.787.0300
KASS	IRINA	STE 105E 4800 N FEDERAL HWY	BOCA RATON	FL	33431-5179	561.372.0345
MILLER	SCOTT	STE 105E 4800 N FEDERAL HWY	BOCA RATON	FL	33431-5179	561.372.0345
BERNSTEIN	RICHARD	STE 105E 4800 N FEDERAL HWY	BOCA RATON	FL	33431-5179	561.372.0345
LEVINSON	STEVEN	STE 105E 4800 N FEDERAL HWY	BOCA RATON	FL	33431-5179	561.372.0345
ROWE	JOSEPH	STE 109 7216 US HWY 301 N	ELLENTON	FL	34222-3463	813.675.7000
HAUGEN	JAMES	STE 1103 6817 SOUTHPOINT PKWY	JACKSONVILLE	FL	32216-6295	904.652.1166
CLAYTON	CHARLENE	STE 1104 13400 SUTTON PARK DR S	JACKSONVILLE	FL	32224-0235	904.992.8535
TAPIA	OSCAR	STE 1126 223 TAYLOR ST	PUNTA GORDA	FL	33950-4453	941.637.9700
CERRITELLI	ROBERT	STE 114 115 & 120 18245 PAULSON DR	PORT CHARLOTTE	FL	33954-1019	941.629.8110
MERENDA	STEVEN	STE 1200 200 E ROBINSON ST	ORLANDO	FL	32801-1963	407.849.5141
CASTRO	MARGO	STE 1203 13400 SUTTON PK DR	JACKSONVILLE	FL	32224-0235	904.861.0650
GOODRICH	THOMAS	STE 1203 13400 SUTTON PK DR SE	JACKSONVILLE	FL	32224-0235	904.861.0650
BROSIOUS	BARRY	STE 1220 9350 S DIXIE HWY	MIAMI	FL	33156-2945	305.670.5575
MARANDINO	MARK	STE 1220 9350 S DIXIE HWY	MIAMI	FL	33156-2945	305.670.5575
OPRANDI	ROGER	STE 1410 9350 S DIXIE HWY	MIAMI	FL	33156-2997	786.264.4955
BEVILACQUA	ALBERT	STE 175 925 S FEDERAL HWY	BOCA RATON	FL	33432-6138	561.327.4535
LININGTON	WALTER	STE 195 18167 US HIGHWAY 19 N	CLEARWATER	FL	33764-6566	727.535.1488
LEUTE	JAMES	STE 201 2080 MCGREGOR BLVD	FORT MYERS	FL	33901-3424	239.332.2004
WACKS	EDWARD	STE 201-B 111 N PINE ISLAND RD	PLANTATION	FL	33324-1836	954.382.5200
TAO	JOHN	STE 201B 111 NORTH PINE ISLAND ROAD	PLANTATION	FL	33324-1836	954.372.4017
PENLAND	WILLIAM	STE 202 1290 WESTON RD	WESTON	FL	33326-1909	954.384.5401
MORRIS	ROBERT	STE 203 2500 QUANTUM LAKES DR	BOYNTON BEACH	FL	33426-8323	866.498.3529
DICKERT	ROBERT	STE 204 10175 FORTUNE PKWY	JACKSONVILLE	FL	32256-6748	904.519.0551
HAAG	MARK	STE 206 1880 N CONGRESS AVE	BOYNTON BEACH	FL	33426-8674	561.364.8285
O'CONNOR	ROBERT	STE 206 1880 N CONGRESS AVENUE	BOYNTON BEACH	FL	33426-8674	561.364.8285
PARKIN	STEPHEN	STE 206 24 CATHEDRAL PL	ST AUGUSTINE	FL	32084-4466	904.687.8730
HARBOUR	THOMAS	STE 206 8751 W BROWARD BLVD	PLANTATION	FL	33324-2630	954.236.9403
CHERNOW	BRET	STE 208 2101 NW CORPORATE BLVD	BOCA RATON	FL	33431-7343	561.953.9370
PLANCK	GREGORY	STE 208 300 SEVILLA AVE	CORAL GABLES	FL	33134-6623	305.392.1738
MC CONNELL	BARRY	STE 214 2170 W STATE RD 434	LONGWOOD	FL	32779-4977	407.862.6466
GALAINI	MARK	STE 214 3900 WOODLAKE BLVD	GREENACRES	FL	33463-3010	561.969.9700
REYNOLDS	JOHN	STE 219F 2831 RINGLING BLVD	SARASOTA	FL	34237-5356	941.365.1010
COLOTON	SUSAN	STE 225 210 S PINELLAS AVE	TARPON SPRINGS	FL	34689-3672	727.487.5440
LOTKER	RIETTE	STE 229 15715 S DIXIE HWY	PALMETTO BAY	FL	33157-1877	786.429.1180
ADELSON	STEVEN	STE 280 1875 NW CORPORATE BLVD	BOCA RATON	FL	33431-8562	561.515.2971
VERMA	AJAY	STE 3 BLD60 12620 WORLD PLZ LN	FORT MYERS	FL	33907-3996	239.931.3242
LIPSCOMB	MICHAEL	STE 310 5401 S KIRKMAN RD	ORLANDO	FL	32819-7937	407.758.4781
CONTI	SCOTT	STE 343 6151 LAKE OSPREY DR	LAKEWOOD RCH	FL	34240-8419	941.373.1598
LEDBETTER	JEFFERSON	STE 401 210 N UNIVERSITY DR	CORAL SPRINGS	FL	33071-7392	954.575.6250
WEST	JAMES	STE 4021 1525 INTERNATIONAL PKWY	HEATHROW	FL	32746-7646	407.833.2300
SHAHNAVAZ	ALIREZA	STE 4021 1525 INTERNATIONAL PKWY	HEATHROW	FL	32746-7646	407.833.2300
BERTIZILIAN	BASSEM	STE 4021 1525 INTERNATIONAL PKWY	LAKE MARY	FL	32746-7646	407.833.2300
CLARK	CARROLL	STE 413 15715 S DIXIE HWY	MIAMI	FL	33157-1884	305.256.1932
FOYT	JOHN	STE 413 15715 S DIXIE HWY	MIAMI	FL	33157-1884	305.256.1932
HOLMAN	GERALD	STE 604-8 2708 ALT 19	PALM HARBOR	FL	34683-2644	727.724.1131
TERZAKIS	JOHN	STE 6A 308 TEQUESTA DR	TEQUESTA	FL	33469-3092	561.512.1695
D'AUGELLI	RICHARD	STE 700 101 N FEDERAL HWY	BOCA RATON	FL	33432-3969	561.997.2223
PUTTICK	LISA	STE 701 13500 SUTTON PARK DR S	JACKSONVILLE	FL	32224-5290	904.821.0990
FUNDERBURKE	PAULA	STE 910 111 2ND AVE NE	ST PETERSBURG	FL	33701-3474	727.456.0016
PETTY	ANDREW	STE A 10917 DYLAN LOREN CIR	ORLANDO	FL	32825-4445	407.249.4006
MARLOWE	SEAN	STE A 10917 DYLAN LOREN CIR	ORLANDO	FL	32825-4445	407.249.4006
TINER	KAREN	STE A 135 N 6TH ST	HAINES CITY	FL	33844-4265	863.438.7943
NASH	JENNIFER	STE A 1382 TIMBERLANE RD	TALLAHASSEE	FL	32312-4154	850.668.2436
HOEFELICH	MICHAEL	STE A 5101 N 12TH AVE	PENSACOLA	FL	32504-8928	850.476.5773
FREEMAN	LARRY	STE A 5101 N 12TH AVE	PENSACOLA	FL	32504-8928	850.476.5773
WILLIAMSON	YUMEI	STE A 5101 N 12TH AVE	PENSACOLA	FL	32504-8928	850.476.5773
ESIOBU	CHIKEZIE	STE A-150 RM 1078 950 S PINE ISLAND RD	PLANTATION	FL	33324-3918	954.727.8363
LEWIS	ALBERT	STE A3 10575 68TH AVE	SEMINOLE	FL	33772-6023	727.327.9077
LOVITZ	TRACEY	STE B 24 NW 33RD CT	GAINESVILLE	FL	32607-2556	352.375.1463
FAUCHER	WILLIAM	STE B2 2611 KEYSTONE RD	TARPON SPRINGS	FL	34688-7403	727.937.0300
SMITH	CHRISTOPHER	STE B-9 2225 HIGHWAY A1A S	ST AUGUSTINE	FL	32080	904.471.9969
SANTIAGO	ABIGAIL	STE D 10 FLORIDA PARK DRIVE N	PALM COAST	FL	32137-3893	386.597.2994

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Last	First	Address	City	State	ZIP Code	Bus Phone
SHANKWITZ	JOSEPH	UNIT 1920 1914 4TH ST N	ST PETERSBURG	FL	33704-4308	727.251.4372
DOSS	JAMIE	1 S BROAD ST SW	ROME	GA	30161-4424	706.295.4008
BERG	THOMAS	1165 NORTHCHASE PKWY SE STE 255	MARIETTA	GA	30067-6432	678.397.0601
COOK	GLENN	1191 BARNETT RDG	ATHENS	GA	30605-5342	706.546.8567
BYRNSIDE	MARK	1202 BOMBAY LN	ROSWELL	GA	30076-5822	770.642.8504
DUREN	ROBBIN	1202 BOMBAY LN	ROSWELL	GA	30076-5822	404.591.2450
STUCKEY	ERIC	1325 SATELLITE BLVD NW STE 203	SUWANEE	GA	30024-5050	770.945.4045
MC KELVY	RONALD	1573 N THREE NOTCH RD	RINGGOLD	GA	30736-8067	706.965.7790
MORGAN	DISKIN	206 MADISON AVE N	DOUGLAS	GA	31533-4610	912.384.3621
MC CULLOUGH	MATTHEW	206 MADISON AVE N	DOUGLAS	GA	31533-4610	904.296.1613
GUSTAFSON	ROBERT	220 HERITAGE WALK STE 206	WOODSTOCK	GA	30188-6459	678.431.5125
WILDER	PETER	2859 PACES FERRY RD SE	ATLANTA	GA	30339-5701	770.431.5120
MEISNER	CHAD	2859 PACES FERRY RD SE STE 1160	ATLANTA	GA	30339-6204	770.431.5120
PATEL	MANISH	292 S MAIN ST STE 300	ALPHARETTA	GA	30009-1950	678.202.0490
LESH	MARK	3 BRADLEY PARK CT STE E	COLUMBUS	GA	31904-9222	706.568.1119
SULHOFF	ROGER	329 OAK ST STE 202	GAINESVILLE	GA	30501-3591	770.297.9000
TABAK	MARK	3325 PADDOCKS PKWY STE 110	SUWANEE	GA	30024-6060	404.786.1969
LEVY	PETER	345 CREEKSTONE RIDGE	WOODSTOCK	GA	30188-3745	770.591.7700
HADDADIN	MANKA	3490 PIEDMONT RD NE STE 1005	ATLANTA	GA	30305-4809	404.995.8671
PEREZ	MICHAEL	3490 PIEDMONT RD NE STE 1005	ATLANTA	GA	30305-4809	404.464.7150
HILL	SHANNON	3525 PIEDMONT RD NE BLDG 5-110	ATLANTA	GA	30305-1594	770.431.5130
LEVINE	RICHARD	3725 LVILLE SUWANEE RD STE A7	SUWANEE	GA	30024-2320	770.904.2082
FENNEL	RAYMOND	40 D EASTBROOK BEND	PEACHTREE CITY	GA	30269-1567	770.486.1117
THOMAS	DEBORAH	418 PIRKLE FERRY RD STE 113	CUMMING	GA	30040-2529	678.947.1248
ENGLER	JOHN	4210 COLUMBIA RD STE 1B	MARTINEZ	GA	30907-0436	706.868.8020
WASHBURN	RONALD	422 E STATE ST APT A PO BOX 8515	SAVANNAH	GA	31412-8515	912.341.0810
GOFORTH	JAMES	530 W THOMAS ST STE B1	MILLEDGEVILLE	GA	31061-2744	478.452.4101
BEAVER	KERRY	5881 GLENRIDGE DR STE 250	ATLANTA	GA	30328-6169	404.913.9133
SHPIGEL	ASSAF	5881 GLENRIDGE DR STE 250	ATLANTA	GA	30328-6169	404.913.9133
SHIN	ANTHONY	5881 GLENRIDGE DR STE 250	ATLANTA	GA	30328-6169	678.941.9751
FRITTS	GEORGE	6000 LAKE FOREST DR STE 107	ATLANTA	GA	30328-5902	770.609.6322
ROGERS	WILLIAM	601 N BELAIR SQ STE 29	EVANS	GA	30809-4325	706.312.2000
HARR	GARY	612 RIDGEWOOD TER	GAINESVILLE	GA	30501-3048	770.538.0056
KNIGHTS	EVORD	723 WASHINGTON ST SW STE 5	GAINESVILLE	GA	30501-3512	770.538.0189
BUTLER	MICHAEL	75 JACKSON ST BLDG 400 STE 403	NEWNAN	GA	30263-7512	770.683.8740
KROHNE	JOSHUA	800 MOUNT VERNON HWY NE STE 350	ATLANTA	GA	30328-4294	470.314.0322
CAMACHO	FELIX	825 JUNIPER ST NE	ATLANTA	GA	30308-1311	646.205.3466
DELMONTE	MARK	825 JUNIPER ST NE	ATLANTA	GA	30308-1311	404.591.2463
GRUBBS	WILLIAM	8300 DUNWOODY PL STE 120	ATLANTA	GA	30350-3303	770.645.2977
FARNHAM	MICHAEL	96 A LAKESHORE DR	SAINT MARYS	GA	31558-3858	912.882.2295
WELBORN	MARCUS	825 JUNIPER ST	ATLANTA	GA	30308-1311	404.591.2455
BANKS	BURTON	825 JUNIPER ST	ATLANTA	GA	30308-1311	404.591.2462
RIVERA	DERRICK	825 JUNIPER ST	ATLANTA	GA	30308-1311	404.591.2450
FORBES	LEWIS	STE 125	MARIETTA	GA	30062-8178	678.285.1201
CROFT	AUDREY	BLDG 100 STE 130 515 CROSSVILLE RD	ROSWELL	GA	30075-5861	770.518.8146
LONDON	MATTHEW	BLDG 300 STE A 125 PLANTATION CTR DR	MACON	GA	31210-2084	478.471.6764
COHEN	MARC	BROOKSIDE II - STE 240 3655 BROOKSIDE PKWY	ALPHARETTA	GA	30022-1429	470.545.6833
MACKALL	SCOTT	BROOKSIDE II - STE 240 3655 BROOKSIDE PKWY	ALPHARETTA	GA	30022-1429	470.545.6833
JONES	RONALD	BROOKSIDE II - STE 240 3655 BROOKSIDE PKWY	ALPHARETTA	GA	30022-1429	470.545.6833
WALTER	LAWRENCE	STE 1 305 POINT NORTH PL	DALTON	GA	30720-2647	706.278.5662
MACKELFRESH	RICHARD	STE 100 5855 SANDY SPGS CIR NE	SANDY SPRINGS	GA	30328-6275	404.459.9161
FRUTTIGER	KEVIN	STE 1000B 1551 JENNINGS MILL	WATKINSVILLE	GA	30677-7257	706.546.1114
WATKINS	ROBERT	STE 1000B 1551 JENNINGS MILL RD	WATKINSVILLE	GA	30677-7257	706.546.1114
MILLER	ALBERT	STE 107 2918 PROFESSIONAL PKWY	AUGUSTA	GA	30907-3593	706.868.4068
AUFLEGER	TRACY	STE 110 3325 PADDOCKS PKWY	SUWANEE	GA	30024-6060	678.456.6210
COOK	LESLIE	STE 130 2300 HENDERSON MILL RD NE	ATLANTA	GA	30345-2704	770.496.8965
PACELY	SIMONE	STE 130 2300 HENDERSON MILL RD NE	ATLANTA	GA	30345-2704	770.496.8965
TURNBULL	DAVID	STE 1B 4210 COLUMBIA RD	MARTINEZ	GA	30907-0436	706.868.8020
PUCKETT	PATTI	STE 201 3133 GOLF RIDGE BLVD	DOUGLASVILLE	GA	30135-1994	678.391.0324
REYNOLDS	CHRISTOPHER	STE 202 3790 HOLCOMB BRG RD	NORCROSS	GA	30092-4854	770.248.2888
GANSON	ADRIAN	STE 202 3790 HOLCOMB BRG RD	PEACHTREE COR	GA	30092-4854	770.248.2888
SCHNEIDERMAN	RICHARD	STE 210 BLDG 200 10475 MEDLOCK BRIDGE RD	JOHNS CREEK	GA	30097-4446	678.395.5970
HEPNER	GREGORY	STE 210 BLDG 200 10475 MEDLOCK BRIDGE RD	JOHNS CREEK	GA	30097-4446	678.395.5970
FARR	ARTHUR	STE 225 4151 ASHFORD DUNWOODY RD	BROOKHAVEN	GA	30319-1446	770.879.8007
DINKINS	EVELYN	STE 2321 1275 SHILOH RD NW	KENNESAW	GA	30144-7183	678.306.4007
SODIPO	ANTHONY	STE 2321 1275 SHILOH RD NW	KENNESAW	GA	30144-7183	678.306.4009
KURELIC	JOSEPH	STE 240 8300 DUNWOODY PL	ATLANTA	GA	30350-3304	770.641.0980
BRYANT	JAKE	STE 250 6285 BARFIELD RD	ATLANTA	GA	30328-4302	770.352.9650
MUNRO	BURSELL	STE 250 6285 BARFIELD RD	ATLANTA	GA	30328-4302	678.580.2793
CARROLL	SEAN	STE 250 6285 BARFIELD RD	ATLANTA	GA	30328-4302	770.352.9650
GRAFF	MARGARET	STE 2820 999 PEACHTREE ST NE	ATLANTA	GA	30309-4413	855.999.2820
BONIN	BRANDT	STE 29 601 N BELAIR SQ	EVANS	GA	30809-4325	706.922.8458
DUFF	DAVID	STE 29 601 N BELAIR SQ	EVANS	GA	30809-4325	706.836.0918
CENTERS	ROBERT	STE 29 601 N BELAIR SQ	EVANS	GA	30809-4325	706.312.2000
MURPHY	SHERRY	STE 300 350 TOWN CENTER AVE	SUWANEE	GA	30024-6914	678.714.2036
O'BRIEN	KEVIN	STE 300 350 TOWN CTR AVE	SUWANEE	GA	30024-6914	678.714.2036
WILSON	MARK	STE 300 350 TOWN CTR AVE	SUWANEE	GA	30024-6914	678.714.8199
MITMAN	TODD	STE 350 800 MOUNT VERNON HWY	ATLANTA	GA	30328-4294	678.871.2222
REESE	JEREMY	STE 350 800 MOUNT VERNON HWY	ATLANTA	GA	30328-4294	678.871.2222
RILEY-HAYES	SUSAN	STE 405 7840 ROSWELL RD	ATLANTA	GA	30350-6877	678.334.2440

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Last	First	Address	City	State	ZIP Code	Bus Phone
SANDERS	DAVID	STE 600 3475 LENOX RD NE	ATLANTA	GA	30326-3219	404.995.8670
SAUNDERS	RICHARD	STE 600 3475 LENOX RD NE	ATLANTA	GA	30326-3219	404.995.8670
CHAMBLIN	ANDREW	STE 735 4500 HUGH HOWELL RD	TUCKER	GA	30084-4738	770.817.0175
BALDWIN	JAMES	STE A 40 EASTBROOK BND	PEACHTREE CITY	GA	30269-1567	770.486.9487
BURRUS	LOUIE	STE E 3 BRADLEY PARK CT	COLUMBUS	GA	31904-9222	706.568.1119
PERKINS	SHANNON	STE E1 500 SUN VALLEY DR	ROSWELL	GA	30076-5637	770.645.1996
SANDSTROM	DAVID	STE E1 500 SUN VALLEY DR	ROSWELL	GA	30076-5637	770.645.1996
ROBERTS	DOUGLAS	STE R-65 2300 WINDY RIDGE PKWY SE	ATLANTA	GA	30339-5665	770.575.9385
MCDOUGALL	KIM	SUITE 200 5555 GLENRIDGE CONNECTOR	ATLANTA	GA	30342-4815	404.459.2392
ONAGA	NEAL	1001 BISHOP ST STE 788	HONOLULU	HI	96813-3490	808.792.5977
LIVINGSTON	DAVID	1585 KAPIOLANI BLVD STE 1600	HONOLULU	HI	96814-4523	808.441.4000
QUINDICA RAFFERTY	GAYLIEN	1585 KAPIOLANI BLVD STE 1620	HONOLULU	HI	96814-4529	808.952.9700
ITO	JOHN	1585 KAPIOLANI BLVD STE 1650	HONOLULU	HI	96814-4522	808.739.7616
TANIMURA	CHARLES	1585 KAPIOLANI BLVD STE 1650	HONOLULU	HI	96814-4522	808.739.7617
KODAMA	ALAN	1585 KAPIOLANI BLVD STE 1775	HONOLULU	HI	96814-4525	808.792.7411
ALOIAU	ALAN	1600 KAPIOLANI BLVD STE 1323	HONOLULU	HI	96814-3803	808.952.1230
FUJIMOTO	ERIC	555 SOUTH ST STE 106	HONOLULU	HI	96813-5037	808.952.1241
GARCIA	ALIKA	555 SOUTH ST STE 106	HONOLULU	HI	96813-5037	808.952.1245
SILVA	MARVIN	700 BISHOP ST STE 1703	HONOLULU	HI	96813-4118	808.792.5935
GRONWALD	JOSEPH	707 RICHARDS ST STE 701	HONOLULU	HI	96813-4624	808.784.3501
MURAKAMI	GEORGE	745 FORT STREET MALL STE 1400	HONOLULU	HI	96813-3877	808.952.1242
KIM	CHRISSEY	745 FORT STREET STE 1400	HONOLULU	HI	96813-3877	808.952.1233
ADAMS	CHAD	900 FORT STREET MALL STE 1710	HONOLULU	HI	96813-3794	808.952.1229
KONDO	KEN	98-1247 KAAHUMANU ST STE 101	AIEA	HI	96701-5300	808.952.1216
VICTORINO	VAUGHN	STE 106 555 SOUTH ST	HONOLULU	HI	96813-5037	808.952.1259
ROBERTSON	DANIEL	STE 1100 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4527	808.739.7631
KANETA	WAYNE	STE 1100 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4527	808.792.5925
SMILEY	SANDRA	STE 1100 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4527	808.952.1222
YEE	MICHAEL	STE 1100 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4527	808.952.1240
GUM	STEVEN	STE 1100 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4527	808.952.1227
IKEHARA	SHIRLEY	STE 1100 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4527	808.792.7408
MARK	BARRY	STE 111 101 AUPUNI ST	HILLO	HI	96720-4260	808.933.9606
TANG	FUNLING	STE 1388 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4526	808.792.7488
HIROKANE	DAVID	STE 1388 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4526	808.792.7468
MURRAY	STACIA	STE 1400 745 FORT STREET	HONOLULU	HI	96813-3877	808.952.1244
IHA	BRIAN	STE 1400 745 FORT STREET	HONOLULU	HI	96813-3877	808.952.1243
HAMADA	GAIL	STE 1400 745 FORT STREET MALL	HONOLULU	HI	96813-3877	808.952.1246
PAGAY	RHODORA	STE 1600 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4523	808.369.0791
DU-FORSTNER	JENNIFER	STE 1616 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4524	808.380.8628
SCHMIDT	VALERIE	STE 1616 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4524	808.380.8629
SHIMOKAWA	ROSS	STE 1616 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4524	808.380.8627
TANAKA	ARNOLD	STE 1620 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4529	808.952.9700
ISODA	KEVIN	STE 1620 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4529	808.739.7618
WATANABE	JOANNE	STE 1620 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4529	808.952.9700
SUZUKI	REID	STE 1620 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4529	808.739.7622
IHORI	AARON	STE 1620 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4529	808.739.7623
MARK	THOMAS	STE 1630 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4525	808.792.5900
NISHINO	GLENN	STE 1650 1585 KAPIOLANI BLVD	HONOLULU	HI	96814-4522	808.739.7616
TEPPER	CASSIDY	STE 1710 900 FORT STREET MALL	HONOLULU	HI	96813-3794	808.543.3838
SPITZ	ANDREW	STE 207 65-1279 KAWAIIHAE RD	KAMUELA	HI	96743-8444	808.238.5400
HIGASHIHARA	ERIC	STE 788 1001 BISHOP ST	HONOLULU	HI	96813-3490	808.792.5945
KOIKE	LINCOLN	SUITE 1400 745 FORT STREET	HONOLULU	HI	96813-3877	808.952.1257
BOGAARDS	ARVIN	101 N COURT ST	FAIRFIELD	IA	52556-2812	641.472.6260
MC CULLA	MATTHEW	1014 WASHINGTON ST	PELLA	IA	50219-1506	641.613.3079
JOHNSON	PHILLIP	103 E STATE ST STE 300	MASON CITY	IA	50401-3321	641.423.7070
MARTIN	BRADFORD	105 E LOCUST ST STE 1	BLOOMFIELD	IA	52537-1458	641.664.2169
MARX	DOUGLAS	1119 4TH STREET SUITE 212	SIOUX CITY	IA	51101-1929	712.224.4505
KRUSE	DARYL	115 S VINE ST	WEST UNION	IA	52175-1393	319.240.0880
NAPOLITANO	STEVEN	117 4TH AVE S	CLINTON	IA	52732-4107	563.242.3100
BOLLMAN	JAY	12247 STRATFORD DR	CLIVE	IA	50325-8147	515.207.3400
HERR	RANDY	12247 STRATFORD DR	CLIVE	IA	50325-8147	515.207.3400
MARSHALL	ROBIN	12247 STRATFORD DR	CLIVE	IA	50325-8147	515.207.3400
ENFIELD	JEFFREY	123 W WASHINGTON ST	WASHINGTON	IA	52353-2035	319.653.6638
RUHLAND	MICHAEL	129 CENTRAL AVE SW	LE MARS	IA	51031-3620	712.546.9525
BRANDT	JEFFREY	1400 CENTRAL AVE	FORT DODGE	IA	50501-4252	515.573.1188
GRAY	MARK	1408 BROADWAY PO BOX 601	DENISON	IA	51442-0601	712.263.6722
ABODEELY	EDMUND	1570 42ND STREET NE	CEDAR RAPIDS	IA	52402-3073	319.294.0511
RINDELS	ROBERT	1580 MALL DR	IOWA CITY	IA	52240-3110	319.337.9620
SHELMAN	BRADLEY	1580 MALL DR	IOWA CITY	IA	52240-3110	319.337.9620
BALDES	BRADLEY	1580 MALL DRIVE	IOWA CITY	IA	52240-3110	319.337.2263
PROTTSMAN	LUCAS	1580 MALL ST STE A	IOWA CITY	IA	52240-3110	319.337.2263
NELSON	JOHN	210 COURT AVE STE 200	DES MOINES	IA	50309-2367	515.528.2415
PICK	DON	210 E 5TH ST STE 4	CARROLL	IA	51401-2714	712.792.5100
HUNTER	MARIA	222 N MAIN ST	CHARITON	IA	50049-1719	641.774.5907
LINK	HEATHER	2525 KIMBERLY RD STE 2	BETTENDORF	IA	52722-3538	563.888.1490
FLACK	STEVEN	2708 BICENTENNIAL DR	CEDAR FALLS	IA	50613-5852	319.268.4315
BARZEN	DAVID	2716 GRAND AVE	DES MOINES	IA	50312-5218	515.274.3393
SCHWARTZ	RICK	2813 TERRACE DR	CEDAR FALLS	IA	50613-5900	319.268.4311
ARENSDORF	STEPHANIE	2813 TERRACE DR	CEDAR FALLS	IA	50613-5900	319.268.4334
ACKER	DONALD	3139 S LAKEPORT ST	SIOUX CITY	IA	51106-4223	712.274.7696

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Last	First	Address	City	State	ZIP Code	Bus Phone
MC CAULEY	KEVIN	319 E 2ND ST STE 200	MUSCATINE	IA	52761-4100	563.262.4040
TOPOROWSKI	KERRY	321 17TH ST STE A	BETTENDORF	IA	52722-4907	563.214.1857
DE BOER	KEITH	322 ALBANY AVE SE	ORANGE CITY	IA	51041-1626	712.737.2233
KEANE	JOHN	325 W 7TH ST	SIOUX CITY	IA	51103-5417	712.258.8600
KEANE	KEVIN	325 W 7TH ST	SIOUX CITY	IA	51103-5417	712.258.8600
JOHNSON	BRET	340 W 5TH ST	DUBUQUE	IA	52001-6910	563.652.2013
SANNES	AARON	3404 MIDWAY DR	WATERLOO	IA	50701-5612	319.234.7000
KATCHER	JOSHUA	3404 MIDWAY DR	WATERLOO	IA	50701-5612	319.234.7000
FOX	LARRY	3404 MIDWAY DRIVE	WATERLOO	IA	50701-5612	319.234.7000
AUNAN	BRIAN	414 E PLATT ST	MAQUOKETA	IA	52060-2411	563.652.7177
WESTEMEIER	PHILLIP	4510 CHADWICK RD	CEDAR FALLS	IA	50613-7958	319.277.2020
JENKINS	JESSICA	4510 CHADWICK RD	CEDAR FALLS	IA	50613-7958	319.277.2020
POWER	BRIAN	4807 UNIVERSITY AVE STE 101	CEDAR FALLS	IA	50613-6256	319.266.2323
BLESSING	MICHAEL	5001 UTICA RIDGE RD	DAVENPORT	IA	52807-3060	563.344.9535
GOODMUNDSON	DALE	5001 UTICA RIDGE RD	DAVENPORT	IA	52807-3060	563.344.9535
WIGES	ZACHARY	506 W 7TH ST PO BOX 266	ATLANTIC	IA	50022-0266	712.243.1453
JOHNSON	JENNIFER	506 W 7TH ST PO BOX 266	ATLANTIC	IA	50022-0266	712.243.1453
PAVELKA	JOHN	5131 UTICA RIDGE RD STE A	DAVENPORT	IA	52807-3024	877.743.4040
LUSSON	DUANE	527 W 2ND ST	OTTUMWA	IA	52501-2310	641.684.4200
KEENEY	KELLY	5405 UTICA RIDGE ROAD STE 210	DAVENPORT	IA	52807-2938	563.344.6070
FLEECE	MICHAEL	5900 SARATOGA RD STE 7	ASBURY	IA	52002-2124	563.690.0727
DAVIS	RICHARD	600 WOODCREST DRIVE	WAUKEE	IA	50263-9502	515.987.8327
GRABER	MARTIN	610 AVENUE G	FORT MADISON	IA	52627-2925	319.372.1896
CHILTON	MATHEW	6111 WHISPERING CREEK DR STE A	SIOUX CITY	IA	51106-7211	712.279.0646
COLBERT	NATE	6111 WHISPERING CREEK DR STE A	SIOUX CITY	IA	51106-7211	712.279.0646
LEIBFRIED	SCOTT	6601 BOULDER BROOK CT	DUBUQUE	IA	52003-9759	563.556.7132
DENNING	JOSHUA	701 AVENUE G	FORT MADISON	IA	52627-2915	319.372.8923
LINK	STEVEN	702 AVENUE F	FORT MADISON	IA	52627-2939	319.372.7554
SLOTTER	DAVID	709 N MAIN ST	CHARLES CITY	IA	50616-2103	641.228.2271
BAILEY	JUSTIN	717 N 18TH ST PO BOX 925	CENTERVILLE	IA	52544-0925	641.856.3131
LAUGHTON	DIANNE	801 4TH AVE SE	LE MARS	IA	51031-2415	712.546.6963
THEIS	JAY	824 3RD AVE PO BOX 428	SHELDON	IA	51201-0428	712.324.5292
THOMPSON	CHAD	101 N COURT ST	FAIRFIELD	IA	52556-2812	641.472.6260
ADAM	ROGER	123 W WASHINGTON ST	WASHINGTON	IA	52353-2022	319.653.6638
GLAW	TODD	4600 UNIVERSITY AVE	CEDAR FALLS	IA	50613-6222	319.268.4310
EVANOVICH	JOSEPH	5001 UTICA RIDGE RD	DAVENPORT	IA	52807-3060	563.344.9535
SPIELMAN	JAN	722 LAKE AVE	STORM LAKE	IA	50588-1854	712.732.2375
BORGMAN	JON	P.O.BOX 448 1140 HIGHWAY 59	HARLAN	IA	51537-0448	712.755.9597
HIGGINS	MATTHEW	PO BOX 334 3301 HWY 71 STE 3	SPIRIT LAKE	IA	51360-0334	712.336.0321
FREDERICK	MARK	STE 1 150 JOHN F KENNEDY RD	DUBUQUE	IA	52002-5306	563.748.2565
GANTZ	STEVEN	STE 102 24 E MAIN ST	MARSHALLTOWN	IA	50158-4954	641.352.5003
BLUM	STEVEN	STE 102 383 COLLINS RD NE	CEDAR RAPIDS	IA	52402-3147	319.393.3322
BOETTNER	ALAUNA	STE 104 120 BRYANT ST	DUBUQUE	IA	52003-7407	563.588.1602
LENSCH	LEE	STE 2 2525 KIMBERLY RD	BETTENDORF	IA	52722-3538	563.888.1490
HVITVED	AARON	STE 200 126 2ND AVE SE	CRESO	IA	52136-1838	563.547.5340
JESSE	DAVID	STE 2000 1045 76TH ST	WEST DES MOINES	IA	50266-5886	515.453.9424
RASKIE	ALAN	STE 200B 319 E 2ND ST	MUSCATINE	IA	52761-4100	563.262.4040
FRANKE	DENIZ	STE 210 2600 WESTOWN PARKWAY	W DES MOINES	IA	50266-7301	515.309.0043
FRANKE	MICHAEL	STE 210 2600 WESTOWN PKWY	W DES MOINES	IA	50266-7301	515.309.0043
MILLER	JEFFREY	STE 210 2600 WESTOWN PKWY	W DES MOINES	IA	50266-7301	515.453.2300
MACK	BERNARD	STE 210 5405 UTICA RIDGE RD	DAVENPORT	IA	52807-2938	563.344.6070
KEELING	RICHARD	STE 300 5435 NW 100TH ST	JOHNSTON	IA	50131-4821	515.253.8200
DOTY-MC CLUSKEY	WINONAH	STE 608 1200 VALLEY WEST DR	WEST DES MOINES	IA	50266-1907	515.223.1790
KORTE	CHRISTINE	STE 608 1200 VLY WEST DR	WEST DES MOINES	IA	50266-1907	515.223.1790
LEYDEN	CHRIS	STE A 1580 MALL DR	IOWA CITY	IA	52240-3110	319.337.2263
OAKS	JOYCE	STE A 2712 ORCH DR	CEDAR FALLS	IA	50613-5864	319.268.4329
NANKIVELL	MARTHA	STE D 2805 EASTERN AVE	DAVENPORT	IA	52803-2074	563.323.0072
DOMBROSKI	MICHAEL	SUITE 6 1570 42ND STREET NE	CEDAR RAPIDS	IA	52402-3073	319.337.8295
RAWSON	RITA	UNION STATION STE 201 102 S HARRISON ST	DAVENPORT	IA	52801-1829	563.324.4580
MURPHY	DOUGLAS	1522 ELK CREEK DR	IDAHO FALLS	ID	83404-8322	208.528.6700
ORLANDO	PAUL	413 SW 5TH AVE STE 110	MERIDIAN	ID	83642-8601	208.914.6595
KATSILOMETES	GEORGE	STE 101	POCATELLO	ID	83201-6392	208.232.6594
PETERSEN	STEVEN	STE 101	POCATELLO	ID	83201-6392	208.232.6594
SCHELLING	ROBERT	STE 101 8781 W ARDENE ST	BOISE	ID	83709-2699	208.938.4416
SAMPLES	JUSTIN	STE 101 8781 W ARDENE ST	BOISE	ID	83709-2699	208.938.4416
MC KEOWN	PATRICK	STE 209 412 E PARKCENTER BLVD	BOISE	ID	83706-6573	208.367.0209
ERWIN	CHARLES	STE 209 412 E PARKCENTER BLVD	BOISE	ID	83706-6573	208.367.0233
NICOLADES	ANDREAS	STE 210 120 E LAKE ST	SANDPOINT	ID	83864-1366	845.462.1771
MC MURDIE	JEFFREY	STE 5 1025 SHOSHONE ST N	TWIN FALLS	ID	83301-6373	208.734.8909
GAUTAM	PARAS	1 LINCOLN CTR STE 1500	OAKBROOK TER	IL	60181-4854	630.613.7102
KANG	CHAN	1 NORTHFIELD PLZ STE 480	NORTHFIELD	IL	60093-1219	847.272.3384
VANDERSNICK	TRICIA	100 S STATE ST	GENESEO	IL	61254-1348	309.945.1124
CHARLET	RICHARD	100 SOUTH STATE ST	GENESEO	IL	61254-1348	309.944.6596
BERCEAU	STEVEN	1000 SKOKIE BLVD STE 550	WILMETTE	IL	60091-1187	224.406.6742
ROYCE	THOMAS	1011 WARRENVILLE ROAD STE 225	LISLE	IL	60532-0929	877.353.8999
OCONNOR	TIMOTHY	10229 VINE STREET	HUNTLEY	IL	60142-9531	224.858.7320
SCHAVOCKY	JOHN	10237 W LINCOLN HWY	FRANKFORT	IL	60423-1279	815.464.2929
WOJCIK	JOSEPH	10237 W LINCOLN HWY	FRANKFORT	IL	60423-1279	815.464.2929
MARBAN	CLAUDIA	10261 W LINCOLN HWY	FRANKFORT	IL	60423-1279	815.469.7181
MEYERS	ROBERT	10339 W LINCOLN HWY	FRANKFORT	IL	60423-1280	815.464.9769

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ROSS	STEPHEN	105 W MADISON ST STE 2100	CHICAGO	IL	60602-4649	312.782.4000
WHARTON	GEOFFREY	1051 PERIMETER DR STE 810	SCHAUMBURG	IL	60173-5057	847.619.0907
MYERS	CRAIG	107 S STATE ST	MONTICELLO	IL	61856-1968	217.762.4297
CHAMBERS	LARRY	111 E SCHAUMBURG RD	SCHAUMBURG	IL	60194-3518	847.434.1100
MANZARDO	THOMAS	111 E SCHAUMBURG RD	SCHAUMBURG	IL	60194-3518	847.584.0111
HEMBROUGH	PETER	117 E MAIN ST	MORRISON	IL	61270-2639	815.772.7243
ENGLEHART	SCOTT	11718 MAIN ST	ROSCOE	IL	61073-9566	815.525.3800
KHORY	ROSHNI	1288 N LAKEVIEW DR	PALATINE	IL	60067-2098	847.776.8696
VAN WINKLE	JOHN	1375 E WOODFIELD RD STE 750	SCHAUMBURG	IL	60173-6012	847.619.8152
PIEKARSKI	KRZYSZTOF	1375 E WOODFIELD RD STE 750	SCHAUMBURG	IL	60173-6012	847.619.8152
TOMICH	MATTHEW	1375 E WOODFIELD RD STE 750	SCHAUMBURG	IL	60173-6012	847.641.5029
ROBERTS	WILLIAM	15 SPINNING WHEEL RD STE 217	HINSDALE	IL	60521-7669	630.313.2776
KONEY	KEVIN	15030 S RAVINIA AVE STE 39	ORLAND PARK	IL	60462-3173	708.349.1001
SCHULTZE	GREGORY	15424 S HARLEM AVE	ORLAND PARK	IL	60462-4333	708.342.2639
CRISS	LARRY	1729 4TH ST	PERU	IL	61354-3322	815.223.3464
VOELKER	DAVID	1750 S EASTWOOD	WOODSTOCK	IL	60098-4657	815.337.4210
BURLINGAME	RONALD	1750 S EASTWOOD DR	WOODSTOCK	IL	60098-4657	815.337.4210
DONATO	PAUL	18-2 E DUNDEE RD STE 230	BARRINGTON	IL	60010-5274	847.898.9916
ADAMS	STEVEN	1900 E GOLF RD STE 1255	SCHAUMBURG	IL	60173-5834	847.518.1555
OSMONDSON	SHARON	1901 N ROSELLE RD STE 650	SCHAUMBURG	IL	60195-3184	847.592.5300
DEITERING	EVELYN	1901 N ROSELLE RD STE 650	SCHAUMBURG	IL	60195-3184	630.234.8188
BRAGGS	DIONNE	1901 N ROSELLE RD STE 650	SCHAUMBURG	IL	60195-3184	630.351.8733
HELMERS	HEATHER	1901 N ROSELLE RD STE 650	SCHAUMBURG	IL	60195-3184	847.592.5300
HELLSTEDT	SANDRA	19428 104TH AVE	MOKENA	IL	60448-1795	708.326.4718
KEATING	JOHN	2020 BROADWAY ST	QUINCY	IL	62301-3224	217.222.3720
RADIVAN	JEFF	218 DIXIE HWY	CHICAGO HTS	IL	60411-1675	708.756.3570
TURNER	AARON	223 S BATAVIA AVE STE 202	BATAVIA	IL	60510-3121	630.377.0804
BAJAJ	VIJAY	2323 NAPERVILLE RD STE 140	NAPERVILLE	IL	60563-3540	630.955.6160
MARUYAMA	DONALD	2323 NAPERVILLE RD STE 150	NAPERVILLE	IL	60563-5607	630.955.1400
STONE	ROBERT	2560 MASCOUTAH AVE	BELLEVILLE	IL	62220-3587	618.233.1198
YOOK	MIYOUNG	2650 QUAIL LN	NORTHBROOK	IL	60062-7627	847.715.9488
FASH	CHRIS	2805 BUTTERFIELD RD STE 110	OAK BROOK	IL	60523-1169	773.864.8732
REIMANN	MICHAEL	2815 FORBS AVE SUITE 107	HOFFMAN ESTATES	IL	60192-3731	847.562.5417
SCHMITT	JAMES	28377 DAVIS PKWY STE 601	WARRENVILLE	IL	60555-3031	630.225.4650
BELLANTONI	YAN	28381 DAVIS PKWY STE 703	WARRENVILLE	IL	60555-3033	630.995.9836
WARNAAR	DIANE	28381 DAVIS PKWY STE 703	WARRENVILLE	IL	60555-3033	630.995.9836
FROST	JACK	3008 ROSEWOOD DR	JOLIET	IL	60435-4972	815.730.6788
DELLA MONICA	JOSEPH	3013 N ASHLAND AVE STE 1	CHICAGO	IL	60657-3086	773.880.5900
TABBONE	MEREDITH	303 E WACKER DR STE 1575	CHICAGO	IL	60601-5215	312.414.0890
STALCUP	STEPHEN	3030 WARRENVILLE RD	LISLE	IL	60532-1000	331.249.4300
SELF	BRANDON	3030 WARRENVILLE RD STE 420	LISLE	IL	60532-3648	331.249.4300
COOK	MICHAEL	3030 WARRENVILLE RD STE 420	LISLE	IL	60532-3648	331.249.4300
TARTER	JOHN	3030 WARRENVILLE RD STE 420	LISLE	IL	60532-3648	331.249.4300
ELLSWORTH	MICHAEL	36 N MCLEAN BLVD	ELGIN	IL	60123-6050	847.531.8693
SZAFRANSKI	FRANK	375 W 83RD ST	BURR RIDGE	IL	60527	630.455.6090
O'HARA	KEVIN	400 E DIEHL RD STE 160	NAPERVILLE	IL	60563-1361	630.799.9310
SITAR	PHILLIP	400 N MICHIGAN AVE STE 1010	CHICAGO	IL	60611-4164	312.346.1000
SCHWARTZ	JEFFREY	409 S PROSPECT RD STE E	BLOOMINGTON	IL	61704-4581	309.827.7917
WILSON	DEBORAH	409 S PROSPECT RD STE E	BLOOMINGTON	IL	61704-4581	309.828.9501
BRANDT	ALISON	427 E STATE ST	GENEVA	IL	60134-2337	630.733.8333
MASCIOPINTO	MICHAEL	447 S MAIN ST	BARTLETT	IL	60103-4609	630.213.2185
GREENWOOD	SALLYE	47 W POLK ST STE 325	CHICAGO	IL	60605-2175	312.542.9614
SCHRADER	FRANCES	47 W POLK ST STE 325	CHICAGO	IL	60605-2175	312.542.9618
NELSON	JOHN	47 W POLK ST STE 325	CHICAGO	IL	60605-2175	312.542.9613
HARRIS	WILLIAM	47 W POLK ST STE 325	CHICAGO	IL	60605-2175	312.542.9636
NICHOLS	GREGORY	501 N MORTON AVE	MORTON	IL	61550-1526	309.266.7171
BATHURST	LONNIE	510 NORTH STATE ST	LITCHFIELD	IL	62056-1568	217.324.3203
HUNN	CLIFFORD	56 E CRYSTAL LAKE AVE	CRYSTAL LAKE	IL	60014-6137	815.477.5510
GNIVECKI	RICHARD	56 E CRYSTAL LAKE AVE	CRYSTAL LAKE	IL	60014-6137	815.477.5510
JONES	STEVEN	6 DUNLAP CT	SAVOY	IL	61874-9501	217.352.0447
BUSHUE	DOUGLAS	6 DUNLAP CT	SAVOY	IL	61874-9501	217.352.0447
FIorentino	ROBIN	6067 STRATHMOOR DR	ROCKFORD	IL	61107-6631	815.399.7500
LARSON	ERIC	619 W MAIN ST	SAINT CHARLES	IL	60174-1740	630.587.2800
STUCK	CHARLES	619 W MAIN ST	ST CHARLES	IL	60174-1740	847.931.0180
MAZANKE	ROBERT	619 W MAIN STREET	SAINT CHARLES	IL	60174-1740	630.584.4925
BERG	GREGORY	619 W MAIN STREET	SAINT CHARLES	IL	60174-1740	630.524.2113
LOWE	VIRGIL	6320 N SHERIDAN RD STE C	PEORIA	IL	61614-3053	309.681.7255
FITZGERALD	JACOB	6845 WEAVER ROAD SUITE 300	ROCKFORD	IL	61114-8051	815.316.6460
BOCCIGNONE	DAVID	6870 ROTE RD STE 102	ROCKFORD	IL	61107-2690	815.708.6112
BARSTEAD	BRIAN	700 S GRAND AVE WEST	SPRINGFIELD	IL	62704-3639	217.789.2974
FIRKINS	DAVID	7160 ARGUS DR STE 101	ROCKFORD	IL	61107-5809	815.316.1900
MICHELSSEN	JAMES	7160 ARGUS DR STE 101	ROCKFORD	IL	61107-5809	815.316.1900
ENGEN	LANA	7160 ARGUS DR STE 102	ROCKFORD	IL	61107-5809	815.399.3311
KELLEY	JOAN	7160 ARGUS DRIVE	ROCKFORD	IL	61107-5809	815.399.3311
NOVAK	JOHN	739 N BRINTON AVE	DIXON	IL	61021-1609	815.285.4817
CAMPBELL	PAUL	75 EXECUTIVE DR STE 335	AURORA	IL	60504-8152	630.423.8664
MC WHERTER	MATTHEW	760 VILLAGE CENTER DR STE 210	BURR RIDGE	IL	60527-4508	630.861.6143
NOLAN	THOMAS	760 VILLAGE CENTER DR STE 210	BURR RIDGE	IL	60527-4508	630.468.5172
MARTIN	ROBERT	862 D CENTER CT	SHOREWOOD	IL	60404-8537	815.773.1003
PARKER	JUSTIN	931 N PLUM GROVE RD	SCHAUMBURG	IL	60173-4853	847.605.0605

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ADAMS	JOHN	9859 BIG BEND BLVD STE 105	COLUMBIA	IL	62236-0003	314.720.2167
WHITE	BRETT	1 OAKBROOK TER STE 700	OAKBROOK TER	IL	60181-4474	630.396.1823
LARSON	ALLAN	6067 STRATHMOOR DR	ROCKFORD	IL	61107-6631	815.399.7500
OSBORNE	KIRK	6067 STRATHMOOR DR	ROCKFORD	IL	61107-6631	815.399.7500
ARGOUDELIS	JAMES	921 CHARLESTON AVE	MATTOON	IL	61938-4222	217.234.8136
STEWART	JOHN	921 CHARLESTON AVE	MATTOON	IL	61938-4222	217.234.8136
PETERSON	MARSHA	STE 1 310 N CONVENT ST	BOURBONNAIS	IL	60914-2176	815.933.4494
LUZADDER	MONTÉ	STE 100 2400 RAVINE WAY	GLENVIEW	IL	60025-7653	847.486.9700
MINNIG	SCOTT	STE 1010 400 N MICHIGAN AVE	CHICAGO	IL	60611-4164	312.849.3200
HEYDA	HARRIET	STE 1010 400 N MICHIGAN AVE	CHICAGO	IL	60611-4164	312.807.1046
FORCUCCI	JAMES	STE 102 1761 S NAPERVILLE RD	WHEATON	IL	60189-5846	630.871.1110
SHERMAN	CLAUDE	STE 103 14 HERITAGE DR	BOURBONNAIS	IL	60914-2516	815.933.3340
KEIDAN	MARTIN	STE 103 89 LINCOLNWOOD RD	HIGHLAND PARK	IL	60035-5229	847.266.3717
SCHWARM	SUSAN	STE 104 1860 W WINCHESTER RD	LIBERTYVILLE	IL	60048-5312	847.549.7300
MAC KAY	DONALD	STE 106 20646 ABBEY WOODS CT N	FRANKFORT	IL	60423-3174	815.806.9540
ELLSTROM	DAVID	STE 110 2323 NAPERVILLE RD	NAPERVILLE	IL	60563-3543	630.505.4100
JURIC	SYLVIA	STE 110 2323 NAPERVILLE RD	NAPERVILLE	IL	60563-3543	630.505.4100
WATSON	PHILIP	STE 110 3000 WOODCREEK DR	DOWNERS GROVE	IL	60515-5435	630.541.5300
LOBACZ	DAVID	STE 111 801 S WEST ST	OLNEY	IL	62450-1334	618.392.2288
KHASHO	JOSEPH	STE 1200 1600 GOLF RD	ROLLING MEADOWS	IL	60008-4229	847.981.1900
HOOBCHAAK	EVAN	STE 140 18-1 E DUNDEE RD	BARRINGTON	IL	60010-5249	847.898.9907
ARLINGTON	JANICE	STE 140 2323 NAPERVILLE RD	NAPERVILLE	IL	60563-3540	630.632.6003
LUBEJKO	PAUL	STE 150 2323 NAPERVILLE RD	NAPERVILLE	IL	60563-5607	630.955.1400
YACKEY	MARK	STE 150 2323 NAPERVILLE RD	NAPERVILLE	IL	60563-5607	630.955.1400
JENSEN	CRAIG	STE 1575 303 E WACKER DR	CHICAGO	IL	60601-5215	312.546.6070
KRANTZ	KENNETH	STE 1575 303 E WACKER DR	CHICAGO	IL	60601-5215	312.589.5553
ALLISON	ANDREW	STE 1575 303 E WACKER DR	CHICAGO	IL	60601-5215	312.533.4038
GREZLIK	MATTHEW	STE 1575 303 E WACKER DR	CHICAGO	IL	60601-5215	312.589.5553
CHAVEZ	GABRIEL	STE 160 6435 MAIN ST	WOODRIDGE	IL	60517-1298	630.487.2484
JUDICKAS	KEITH	STE 2 1711 5TH AVE	MOLINE	IL	61265-7908	309.277.0200
HEIDEMAN	KEVIN	STE 200 363 FINANCIAL CT	ROCKFORD	IL	61107-6671	815.977.5999
GALLAGHER	BRENDON	STE 204 215 W ELM ST	SYCAMORE	IL	60178-1862	815.991.9570
OLSON	DONALD	STE 207B 135 PARK AVE	BARRINGTON	IL	60010-4354	847.358.9102
MORAN	EDWARD	STE 210 760 VILLAGE CENTER DR	BURR RIDGE	IL	60527-4508	630.861.6129
RICHARDSON	BRADFORD	STE 221 24402 W LOCKPORT ST	PLAINFIELD	IL	60544-4268	815.609.3525
CROSE	DAVID	STE 29 4-L PLAZA	GALESBURG	IL	61401	309.342.8008
DUNK	JOHN	STE 2L 5101 WASHINGTON ST	GURNEE	IL	60031-2987	847.244.8400
COREY	JOHN	STE 302 1250 S GROVE AVE	BARRINGTON	IL	60010-5066	847.847.2134
CONLEY	COLEMAN	STE 325 47 W POLK ST	CHICAGO	IL	60605-2175	773.359.5985
VALERO	MARLENE	STE 325 47 W POLK ST	CHICAGO	IL	60605-2175	312.922.1060
POINTER	DERRICK	STE 325 47 W POLK ST	CHICAGO	IL	60605-2175	219.796.3510
SIDDIQUI	FIRASAT	STE 325 47 W POLK ST	CHICAGO	IL	60605-2175	513.720.3052
DYKSTRA	CHRISTOPHER	STE 355 2023 VADALABENE DR	MARYVILLE	IL	62062-5637	618.205.8579
LONDON	GARY	STE 480 1 NORTHFIELD PLZ	NORTHFIELD	IL	60093-1219	847.272.3370
KEMPEL	JOHN	STE 480 1 NORTHFIELD PLZ	NORTHFIELD	IL	60093-1219	847.272.3370
HUFF	DONALD	STE 480 1 NORTHFIELD PLZ	NORTHFIELD	IL	60093-1219	847.272.3497
BRACK	JANICE	STE 7 9200 W 191ST ST	MOKENA	IL	60448-8730	708.432.7377
PRESTIDGE	ARMAND	STE 703 28381 DAVIS PKWY	WARRENVILLE	IL	60555-3033	630.995.9836
THOMASCO	CURTIS	STE 750 1375 E WOODFIELD RD	SCHAUMBURG	IL	60173-6012	847.619.9750
CAGADAS	CHRISTOPHER	STE 750 1375 E WOODFIELD RD	SCHAUMBURG	IL	60173-6012	847.619.1111
WILSON	LORENZO	STE 810 307 N MICHIGAN AVE	CHICAGO	IL	60601-5309	312.807.1041
WINBUSH	GERALD	STE 810 307 N MICHIGAN AVE	CHICAGO	IL	60601-5309	312.807.1050
KOCH	STEVEN	STE A 2621 MONTEGA DR	SPRINGFIELD	IL	62704-7002	217.787.2435
LEMAN	JAY	STE B 521 DEVONSHIRE LN	CRYSTAL LAKE	IL	60014-7564	815.477.5507
CAMPBELL	DAX	STE B 993 CLOCKTOWER DR	SPRINGFIELD	IL	62704-1396	217.735.3358
POPOVICH	JASON	STE B 993 CLOCKTOWER DR	SPRINGFIELD	IL	62704-1396	217.726.9917
WILKS	DOUGLAS	STE C 209 WEST POINTE DR	SWANSEA	IL	62226-8310	618.355.7897
HENDREN	BYRON	STE C-1 2416 E WASHINGTON ST	BLOOMINGTON	IL	61704-1612	309.662.2670
RODRIGUEZ	DANIEL	STE D 425 N GILBERT ST	DANVILLE	IL	61832-5633	217.442.8067
MC GARTLAND	THERESA	STE L 325 S 8TH ST	QUINCY	IL	62301-4159	217.222.2281
MULDOON	GERALD	SUITE 601 28377 DAVIS PARKWAY	WARRENVILLE	IL	60555-3031	630.225.4650
GEMMER	CHARLES	10475 CROSSPOINT BLVD STE 100	INDIANAPOLIS	IN	46256-3387	317.819.8600
MESSER	ANGELA	107 S BROADWAY ST	GREENSBURG	IN	47240-2004	812.222.1930
LARSON	JOHN	11480 BROADWAY	CROWN POINT	IN	46307-7106	219.663.9860
KAJMAKOSKI	TONY	11480 BROADWAY	CROWN POINT	IN	46307-7106	219.663.9860
CLARKE	STEPHEN	11480 BROADWAY	CROWN POINT	IN	46307-7106	219.663.9860
FOSTER	JOSEPH	11480 BROADWAY	CROWN POINT	IN	46307-7106	219.663.9860
VIDAL	JOHN	11480 BROADWAY	CROWN POINT	IN	46307-7106	219.663.9860
BUUCK	DOUGLAS	11480 BROADWAY	CROWN POINT	IN	46307-7106	219.663.9860
O'KEEFE	JOSEPH	11480 BROADWAY CROWN POINT	CROWN POINT	IN	46307-6397	219.663.9860
DRANGER	THOMAS	1496 POPE COURT SUITE 3	CHESTERTON	IN	46304-5303	219.226.0800
CHRISTNER	DORVIN	1508 CALUMET AVE	VALPARAISO	IN	46383-3125	219.531.6381
SUTTER	STEVEN	1508 CALUMET AVE	VALPARAISO	IN	46383-3125	219.465.2043
CALKUSIC	THOMAS	1508 CALUMET AVE	VALPARAISO	IN	46383-3125	219.926.4501
STOVER	LINDA	1508 CALUMET AVE	VALPARAISO	IN	46383-3125	219.462.6687
SCALES	SCOTT	20 E CAMP GROUND RD	EVANSVILLE	IN	47710-4496	812.425.3222
SMITH	SCOTT	205 W JEFFERSON BLVD STE 402	SOUTH BEND	IN	46601-1811	574.273.8680
KINGSTON	JENNIFER	225 N BUFFALO	WARSAW	IN	46580-2753	574.269.3386
SCHNEIDER	JEFFREY	2602 NEWTON STREET STE B	JASPER	IN	47546-1351	812.634.2400
AUSTIN	BRIAN	2900 E 96TH ST STE A	INDIANAPOLIS	IN	46240-0018	317.818.9365

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Last	First	Address	City	State	ZIP Code	Bus Phone
MAHER	PATRICK	2900 E 96TH ST STE A	INDIANAPOLIS	IN	46240-0018	317.818.9365
ROWELL	EDMON	2900 E 96TH ST STE A	INDIANAPOLIS	IN	46240-0018	317.818.9365
VOLKERS	KYLE	2963 ERIE CANAL RD	TERRE HAUTE	IN	47802-3976	812.232.5822
TOPP	JASON	300 E 90TH DR	MERRILLVILLE	IN	46410-7188	219.736.8677
LOZANOSKI	TOM	300 E 90TH DR	MERRILLVILLE	IN	46410-7188	219.736.8677
CROSSLEY	JACK	3340 HICKORY RD	MISHAWAKA	IN	46545-8803	574.231.9300
MC COURT	BRUCE	3340 HICKORY RD	MISHAWAKA	IN	46545-8803	574.247.7777
WHITE	DONALD	364 INDIAN BOUNDARY RD	CHESTERTON	IN	46304-1511	219.926.3515
KEELE	GREGGORY	3755 E 82ND STE 40	INDIANAPOLIS	IN	46240-4000	317.288.5400
LARSON	TODD	409 E COOK RD STE 300	FORT WAYNE	IN	46825-3656	260.485.0403
DOBBYN	RICHARD	421 BUNTIN ST	VINCENNES	IN	47591-2120	812.882.4030
POLSTON	ROBERT	4239 FLAGSTAFF CV	FORT WAYNE	IN	46815-4418	260.469.9000
OCHOA	EDWARD	484 W MAIN ST	GREENWOOD	IN	46142-3119	317.884.8938
RAHMAN	ALBERT	484 W MAIN ST	GREENWOOD	IN	46142-3119	317.888.8220
SCHOFIELD	DONALD	501 STOVER AVE	INDIANAPOLIS	IN	46227-1553	317.784.8551
MYERS	SHIRLEY	511 E COLFAX AVE	SOUTH BEND	IN	46617-2715	574.234.0023
MILLER	JOSEPH	5750 COVENTRY LANE STE 110	FT WAYNE	IN	46804-7166	260.969.6962
REIMBOLD	JOHN	5750 COVENTRY LN STE 110	FT WAYNE	IN	46804-7166	260.432.3235
HIGHFIELD	KRISTEN	6144 N COLLEGE AVE	INDIANAPOLIS	IN	46220-1987	317.251.8910
MOORE	CHRISTOPHER	6226 COVINGTON RD	FORT WAYNE	IN	46804-7312	260.436.8884
BROWER	EDWARD	6226 COVINGTON RD	FORT WAYNE	IN	46804-7312	260.436.8884
SHEWMAKER	RANDY	702 N ROGERS ST	BLOOMINGTON	IN	47404-3452	812.339.8513
LAMMERING	RICHARD	724 GREEN BLVD	AURORA	IN	47001-1506	812.655.9258
OATMAN	ERIC	724 GREEN BLVD	AURORA	IN	47001-1506	812.584.1498
JACOBS	JAY	7517 EAGLE CREST BLVD	EVANSVILLE	IN	47715-8151	812.477.5520
HAYES	BRANDON	7517 EAGLE CRST BLVD	EVANSVILLE	IN	47715-8151	812.477.5520
POWERS	MARK	7517 EAGLE CRST BLVD	EVANSVILLE	IN	47715-8151	812.477.5520
EIKENS	MELISSA	800 E JEFFERSON BLVD	SOUTH BEND	IN	46617-2905	574.277.7500
VORBECK	DAVID	839 MAIN ST STE 100	LAFAYETTE	IN	47901-1403	765.742.8300
THACKER	ANDREW	8859 HIGH POINTE DR	NEWBURGH	IN	47630-7964	812.858.7526
DERADO	MATTHEW	8900 KEYSTONE CROSSING SUITE 400	INDIANAPOLIS	IN	46240-2129	317.853.1100
GRABOVSKY	ANGELA	8945 N MERIDIAN ST STE 200	INDIANAPOLIS	IN	46260-2389	317.208.2688
WELLS	DERRICK	915 E 4TH ST	MOUNT VERNON	IN	47620-2115	812.641.1499
WALES	ROBERT	735 E MAIN ST	RICHMOND	IN	47374-4311	765.962.1761
JACOBS	RODNEY	STE 100 401 E JEFFERSON ST	PLYMOUTH	IN	46563-1827	574.936.2571
PERKINS	RYAN	STE 102 1102 CHESTNUT HILLS PKWY	FORT WAYNE	IN	46814-8728	260.271.1050
AUSTGEN	PATRICIA	STE 118W 833 W LINCOLN HWY	SCHERERVILLE	IN	46375-1677	219.865.2277
FOSTER	JOYCE	STE 120 10333 N MERIDIAN ST	INDIANAPOLIS	IN	46290-1074	317.644.0575
BILITZ	ERIC	STE 140 3925 RIVER CROSSING PKY	INDIANAPOLIS	IN	46240-2281	317.218.2639
LONG	DANIEL	STE 200 4440 EDISON LAKES PKWY	MISHAWAKA	IN	46545-1441	574.271.7488
POLASKI	THOMAS	STE 200 4440 EDISON LAKES PKWY	MISHAWAKA	IN	46545-1441	574.243.8096
JONES	MICHAEL	STE 200 4440 EDISON LAKES PKWY	MISHAWAKA	IN	46545-1441	574.243.8096
KING	ROBERT	STE 200 4440 EDISON LKS PKWY	MISHAWAKA	IN	46545-1441	574.243.9179
KOTECKI	DAVID	STE 300 515 PARK PLACE CIR	MISHAWAKA	IN	46545-3585	574.243.2673
HALUSKA	MARY	STE 400 1401 E GREENWOOD AVE	CROWN POINT	IN	46307-4587	219.662.2779
SAWADA	NOEL	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1116
SALDIVAR	RODOLFO	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
TIPLICK	ANDREW	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
JUNG	ANTHONY	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
MINNICH	CHHAYVUOCH	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
SCHAEFFER	KYLE	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
MEISTER	TIM	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
BLOMBERG	STEPHEN	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
MYERS	MICHELLE	STE 400 8900 KEYSTONE CROSSING	INDIANAPOLIS	IN	46240-2129	317.853.1100
YOUGA	KENNETH	STE D 2300 RAMBLEWOOD DR	HIGHLAND	IN	46322-3627	219.924.0956
HUBER	GRAIG	STE H 6249 S EAST ST	INDIANAPOLIS	IN	46227-2089	800.889.9964
KAISER	JOSEPH	STE H 6249 S EAST ST	INDIANAPOLIS	IN	46227-2089	800.889.9964
PILARSKI	EDWARD	UNIT 37 BLDG 25 STE A 6910 N MAIN ST	GRANGER	IN	46530-8855	574.271.0257
RUSH	BRIAN	UNIT 37 BLDG 25 STE A 6910 N MAIN ST	GRANGER	IN	46530-8855	574.247.9550
O'CONNOR-MUNSEY	DENISE	100 S MAIN ST PO BOX 246	MCPHERSON	KS	67460-0246	620.241.8055
MILLER	ANITA	101 S BUCKEYE AVE	ABILENE	KS	67410-3055	785.263.0700
MC MILLAN	BARRY	107 S MAIN ST	LINDSBORG	KS	67456-2417	785.227.8700
SCALARD	DOUGLAS	10955 LOWELL AVE STE 420	OVERLAND PARK	KS	66210-2369	913.451.2605
EWING	JANET	10955 LOWELL AVE STE 420	OVERLAND PARK	KS	66210-2369	913.451.2605
MILLER	CHARLES	10955 LOWELL AVE STE 420	OVERLAND PARK	KS	66210-2369	913.451.1135
SCHAEFFER	MICHAEL	1105 E 30TH ST STE A	HAYS	KS	67601-2045	785.621.4522
KENNEDY	KENT	1201 WAKARUSA DR STE E202	LAWRENCE	KS	66049-3889	785.843.4422
SAULNIER	DANIEL	1825 FAWN ST	SALINA	KS	67401-6600	785.827.8766
PALKOWITSH	BRIAN	201 E OKLAHOMA AVE	ULYSSES	KS	67880-2553	620.424.1774
MILLER	DIANA	203 NW 3RD ST	ABILENE	KS	67410-2630	785.263.0143
BRADLEY	JAMES	2505 ANDERSON AVENUE SUITE 102	MANHATTAN	KS	66502-2853	785.776.7002
LOTTERER	JAY	2809 N BROADWAY ST STE D	PITTSBURG	KS	66762-2684	620.308.6104
BRAGG	IDONNA	5206 W 95TH ST	PRAIRIE VILLAGE	KS	66207-3202	913.341.7126
THOMPSON	MATTHEW	5700 W 112TH ST STE 130	OVERLAND PARK	KS	66211-1749	913.491.5400
MEYER	ROBERT	5700 W 112TH ST STE 130	OVERLAND PARK	KS	66211-1749	913.239.8140
RIETZKE	JAMIE	5700 W 112TH ST STE 130	OVERLAND	KS	66211-1749	913.491.5400
SCHENCK	STEVEN	5700 W 112TH ST STE 130	OVERLAND PARK	KS	66211-1749	913.491.5400
WARREM	CALVIN	601 S KANSAS AVE	TOPEKA	KS	66603-3803	785.357.6278
HANNA	JAMES	601 S KANSAS AVE	TOPEKA	KS	66603-3803	785.357.6278
GDISIS	DEBORAH	8415 E 21ST ST N STE 220	WICHITA	KS	67206-2956	316.858.1501

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RICHARDSON	LORI	8621 E 21ST ST N STE 130	WICHITA	KS	67206-2992	316.630.8118
BABLER	DAVID	9393 W 110TH ST STE 500	OVERLAND PARK	KS	66210-1464	913.323.6833
KEMNA	REGINALD	9820 METCALF AVE STE 130	OVERLAND PARK	KS	66212-6188	913.703.8735
ORTON	TODD	601 S KANSAS AVE	TOPEKA	KS	66603-3803	785.357.6125
LANGHOFER	CHAD	8118 E DOUGLAS AVE STE 105	WICHITA	KS	67206-2364	316.685.5353
SNELL	GLEN	FL 3 223 S MAIN ST	MCPHERSON	KS	67460-4843	620.504.5062
NANCE	LARRY	PARK PLAZA BLDG 2606 N FLEMING ST	GARDEN CITY	KS	67846-3282	620.276.8025
BELL	BRETT	STE 101 8118 E DOUGLAS AVE	WICHITA	KS	67206-2364	316.440.8096
PATER	DAVID	STE 105 8118 E DOUGLAS AVE	WICHITA	KS	67206-2364	316.685.5353
EDWARDS	TRACY	STE 1B 702 COMMERCIAL ST	EMPORIA	KS	66801-2972	620.343.7937
FENDER	ERIC	STE 202 7829 E ROCKHILL ST	WICHITA	KS	67206-3918	316.925.5200
CARY	CHARLES	STE 2121 1311 WAKARUSA DR	LAWRENCE	KS	66049-4775	785.856.7111
ANDREWS	MARK	STE 402 10333 E 21ST ST N	WICHITA	KS	67206-3547	316.858.1502
READ	KIMBERLY	STE 402 10333 E 21ST ST N	WICHITA	KS	67206-3547	316.858.1506
WIEBE	MARK	STE 402 10333 E 21ST ST N	WICHITA	KS	67206-3547	316.858.1507
MC MILLEN	THOMAS	STE 402 10333 E 21ST ST N	WICHITA	KS	67206-3547	316.858.1509
KEMPF	TERESA	STE 403 900 MASSACHUSETTS ST	LAWRENCE	KS	66044-6001	785.841.4561
MULLEN	BRUCE	STE B 328 W STATE ST	ERIE	KS	66733-1036	620.244.5213
ESSENBURG	RANDALL	SUITE 202 100 MILITARY AVE	DODGE CITY	KS	67801-4945	620.227.6454
SOLOMON	SCOTT	SUITE C 4205 W 6TH ST	LAWRENCE	KS	66049-3940	785.841.2985
LARLEE	KATHERINE	12700 TOWNEPARK WAY STE 100	LOUISVILLE	KY	40243-2539	502.807.0279
RENAUD	RICHARD	12910 SHELBYVILLE RD STE 250	LOUISVILLE	KY	40243-1594	502.244.2543
CHILDRESS	JAMES	1349 BARDSTOWN RD	LOUISVILLE	KY	40204-1354	502.365.4600
HAEHL	BRIAN	161 ST MATTHEWS AVE STE 7	LOUISVILLE	KY	40207-3145	502.894.9366
THOMAS	DAVID	17 S MAIN ST	MADISONVILLE	KY	42431-2553	270.821.2044
SCHNEIDER	DENNIS	236 N ELM ST	HENDERSON	KY	42420-3133	270.827.1404
CROOKS	RICHARD	236 N ELM STREET	HENDERSON	KY	42420-3133	270.827.1404
SMALLWOOD	TERRY	250 W MAIN ST STE 2530	LEXINGTON	KY	40507-1757	859.286.5554
GREENWELL	HEATH	2708 NEW HARTFORD RD	OWENSBORO	KY	42303-1317	270.684.8424
WATSON	WILLIAM	2708 NEW HARTFORD RD	OWENSBORO	KY	42303-1317	270.684.8424
CHANEY	TRAVIS	2708 NEW HARTFORD RD	OWENSBORO	KY	42303-1317	270.684.8424
AKERS	BYRON	5311 KY ROUTE 321 STE 2	PRESTONSBURG	KY	41653-9214	606.886.7829
KISKER	DOUGLAS	740 CENTRE VIEW BLVD FL 5	CRESTVIEW HILLS	KY	41017-5434	859.341.1841
WIDENER	KEVIN	7430 US 42 STE 101	FLORENCE	KY	41042-1991	859.795.1233
TUCKER	GLENN	9710 PARK PLAZA AVE STE 108	LOUISVILLE	KY	40241-2292	502.254.2050
PIPPIN	STEVEN	12910 SHELBYVILLE RD STE 250	LOUISVILLE	KY	40243-1594	502.489.5460
BATES	DAVID	12910 SHELBYVILLE RD STE 250	LOUISVILLE	KY	40243-1594	502.489.5399
DICKS	JOHN	12910 SHELBYVILLE RD STE 250	LOUISVILLE	KY	40243-1594	502.489.5434
DALTON	ERICK	238 2ND ST	HENDERSON	KY	42420-3138	270.827.8849
O'NEIL	TODD	STE 100	LOUISVILLE	KY	40243-1800	502.489.6900
BELLUCCI	JEFFREY	STE 100	LOUISVILLE	KY	40243-1800	502.489.6900
HEICK	CARL	STE 100	LOUISVILLE	KY	40243-1800	502.489.6900
SMITH	JOHN	STE 100	LOUISVILLE	KY	40243-1800	502.489.6900
DUERR	JOHN	FIVE CORPORATE CTR STE 3500				
		9960 CORPORATE CAMPUS DR	LOUISVILLE	KY	40223-4085	502.890.6066
BRIGGS	KEVIN	HARTLAND PL STE A3 996 WILKINSON TRACE	BOWLING GREEN	KY	42103-3408	270.782.9824
DONOHUE	DEAN	STE 1 806 STONE CREEK PKWY	LOUISVILLE	KY	40223-5394	502.412.4050
FINK	SHELBY	STE 100 12700 TOWNEPARK WAY	LOUISVILLE	KY	40243-2539	502.244.4114
METCALF	TODD	STE 100 12700 TOWNEPARK WAY	LOUISVILLE	KY	40243-2539	502.244.4114
SMITH	ROBERT PETE	STE 100 12700 TOWNEPARK WAY	LOUISVILLE	KY	40243-2539	502.653.6815
MULLANEY	GREGORY	STE 101 421 BENJAMIN LN	LOUISVILLE	KY	40222-4845	502.253.2961
FRUIN	JOHN	STE 101 7430 US 42	FLORENCE	KY	41042-1991	859.594.4088
KNAPP	STEVEN	STE 101 7430 US HIGHWAY 42	FLORENCE	KY	41042-1991	859.795.1237
WIITALA	AMY	STE 101 A 13151 MAGISTERIAL DR	LOUISVILLE	KY	40223-4103	502.423.7073
GORDON	GERALDINE	STE 115 230 LEXINGTON GREEN CIR	LEXINGTON	KY	40503-3324	859.971.1660
FINK	JOSEPH	STE 250 1000 MONARCH ST	LEXINGTON	KY	40513-1945	859.260.1820
BROOKS	SCOTT	STE 250 130 DUDLEY PIKE	EDGEWOOD	KY	41017-4312	859.838.4400
REDMON	TRACY	STE 7 161 ST MATTHEWS AVE	LOUISVILLE	KY	40207-3145	502.894.9366
DINGLE	SCOTT	STE 7 161 ST MATTHEWS AVE	LOUISVILLE	KY	40207-3145	502.894.9366
ADAMS	ROBERT	STE D 265 REGENCY CIR	LEXINGTON	KY	40503-2349	859.277.6589
WALTERS	GREGORY	132 RUE COLETTE SUITE A	THIBODAUX	LA	70301-5628	985.446.1968
MEYER	THOMAS	132 RUE COLLETTE STE A	THIBODAUX	LA	70301-5628	985.446.1159
GUETTLER	BRIAN	159 E PINE ST	PONCHATOULA	LA	70454-2501	985.370.1723
VAN GEFFEN	DAVID	1921 KALISTE SALOOM ROAD STE 205	LAFAYETTE	LA	70508-6184	337.504.2072
TRAHAN	TROY	225 W CAUSEWAY APPROACH	MANDEVILLE	LA	70448-3032	985.966.2117
STEPHENS	JUANITA	2955 RIDGELAKE DR STE 103	METAIRIE	LA	70002-4947	504.837.7989
TROSCLAIR	RAY	37283 SWAMP RD STE 501	PRAIRIEVILLE	LA	70769-3230	225.744.4482
CRESSEND	RUFUS	3939 N CAUSEWAY BLVD STE 401	METAIRIE	LA	70002-1777	504.889.1704
CUNNINGHAM	JOSEPH	431 JEFFERSON ST	NATCHITOCHES	LA	71457-4633	318.238.4444
EVANS	JAMES	5153 BLUEBONNET BLVD STE B	BATON ROUGE	LA	70809-3030	225.442.3800
LYONS	CHARLTON	6105 LINE AVE STE 100	SHREVEPORT	LA	71106-2085	318.797.2995
CAZAUBON	JEANINE	645 LOTUS DR N STE B	MANDEVILLE	LA	70471-3304	985.626.7526
TRUSSELL	KIRK	664 CORPORATE DR	HOUMA	LA	70360-2464	985.853.0066
RIVAS	ROBERTO	6719 PERKINS RD	BATON ROUGE	LA	70808-4297	225.215.1608
BROWN	JOSEPH	6719 PERKINS RD	BATON ROUGE	LA	70808-4297	225.215.3200
MURPHY	KEVIN	738 N ASHLEY RIDGE LOOP	SHREVEPORT	LA	71106-7209	318.861.3521
MC CROCKLIN	MARK	738 N ASHLEY RIDGE LOOP	SHREVEPORT	LA	71106-7209	318.861.3521
NAVARRO	MARTIN	9270 SIEGEN LANE BLDG 901	BATON ROUGE	LA	70810-0938	225.810.4955
BILLINGS	STEVEN	BLDG 901 9270 SIEGEN LN	BATON ROUGE	LA	70810-0938	225.810.4955
HUNTER	TIMOTHY	BLDG 901 9270 SIEGEN LN	BATON ROUGE	LA	70810-0938	225.810.4955

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YELVERTON	LARRY	STE 100 6425 YOUREE DR	SHREVEPORT	LA	71105-4600	318.212.2673
FULCHER	GREGORY	STE 100B 1124 S BURNSIDE AVE	GONZALES	LA	70737-4285	225.644.5001
PFEFFER	MICHAEL	STE 103 104 CAMPUS DR E	DESTREHAN	LA	70047-5207	985.718.1200
ALFONSO	GARY	STE 104 3351 SEVERN AVE	METAIRIE	LA	70002-7408	504.831.0515
FALLO	ANDREW	STE 104 3351 SEVERN AVE	METAIRIE	LA	70002-7408	504.628.5705
MACALUSO	TROY	STE 110 4501 W NAPOLEON AVE	METAIRIE	LA	70001-2491	504.887.9355
BOUCHIE	CHARLA	STE 110 4501 W NAPOLEON AVE	METAIRIE	LA	70001-2491	504.887.9355
DUNCAN	WILLIAM	STE 110 4501 W NAPOLEON AVE	METAIRIE	LA	70001-2491	504.887.9355
GOUDEAU	GRAY	STE 1111 1 GALLERIA BLVD	METAIRIE	LA	70001-7536	504.837.6541
SCHEWE	LISA	STE 1413 650 POYDRAS ST	NEW ORLEANS	LA	70130-6116	504.299.3413
WADHWA	KAMAL	STE 1417 650 POYDRAS ST	NEW ORLEANS	LA	70130-6116	504.299.3499
THENSTED	CHARLES	STE 1620 1 GALLERIA BLVD	METAIRIE	LA	70001-7533	504.322.2974
GIN	JOHN	STE 1620 1 GALLERIA BLVD	METAIRIE	LA	70001-7533	504.837.1402
LOVECCHIO	PETER	STE 1620 1 GALLERIA BLVD	METAIRIE	LA	70001-7533	504.837.0621
STOLZ	CAROLYN	STE 1620 1 GALLERIA BLVD	METAIRIE	LA	70001-7533	504.837.2019
LEOPOLD	RALPH	STE 1620 1 GALLERIA BLVD	METAIRIE	LA	70001-7533	504.322.2975
ROUSSE	DAVID	STE 2 1003 W THOMAS ST	HAMMOND	LA	70401-3065	985.429.7355
BERNARD	LEONARD	STE 2B 8201 VILLAGE PLAZA COURT	BATON ROUGE	LA	70810-3853	225.766.5665
PALMER	LEE	STE 2B 8201 VILLAGE PLAZA COURT	BATON ROUGE	LA	70810-3853	225.766.4059
EVANS	KELLY	STE 2D 14635 S HARRELLS FERRY RD	BATON ROUGE	LA	70816-2959	225.636.2111
RISHER	JAMES	STE A 7907 WRENWOOD BLVD	BATON ROUGE	LA	70809-7712	225.927.7727
HUNT	CHAD	STE C 119 VILLAGE ST	SLIDELL	LA	70458-5423	985.649.4732
BROUSSARD	BRETT	STE I 3909 AMBASSADOR CAFFERY PKWY	LAFAYETTE	LA	70503-5280	337.216.9330
ROY	CURTIS	SUITE I 3909 AMBASSADOR CAFFERY PKWY	LAFAYETTE	LA	70503-5280	337.216.9330
DUGAS	MICHAEL	SUITE A 1500 LOBDELL AVE	BATON ROUGE	LA	70806-8280	225.448.1091
OMOGROSSO	DANIEL	1 BRANCH ST STE 103	METHUEN	MA	01844-1923	978.664.1373
CONNORS	KEVIN	10 CITY SQUARE 4TH FLOOR	CHARLESTOWN	MA	02129-3740	617.580.4186
HUDAK	KELLY	10 CITY SQUARE 4TH FLOOR	CHARLESTOWN	MA	02129-3740	617.580.4163
KELLY	JOHN	11 WATER ST STE 2A	ARLINGTON	MA	02476-4814	781.641.1212
HEENAN	DANIEL	11 WATER ST STE 2A	ARLINGTON	MA	02476-4814	781.646.0394
MURPHY	PAUL	1209 WASHINGTON ST	CANTON	MA	02021-2139	781.575.9891
RODIER	JAMES	126 ETONIAN PKWY	FITCHBURG	MA	01420-1560	978.342.2931
HUBBARD	ERICA	127 MAIN ST STE 12	CHARLESTOWN	MA	02129-3543	617.455.1866
BEYNON	CHARLES	127 MAIN STREET STE 8	CHARLESTOWN	MA	02129-3543	603.427.8252
TAKACH	ERIC	13 BRIDLE PATH	PLAINVILLE	MA	02762-1006	508.316.0852
ALVANOS	SUSAN	1349 SPRINGFIELD ST	FEEDING HILLS	MA	01030-2118	413.821.9380
ALVANOS	CHARLES	1349 SPRINGFIELD ST	FEEDING HILLS	MA	01030-2118	413.821.9380
PIERCE	JOSEPH	15 CASWELL LN STE 1	PLYMOUTH	MA	02360-4063	800.277.7750
SIMEONE	JOHN	162 WASHINGTON AVE	NEEDHAM	MA	02492-3655	781.449.3797
JOHNSON	JODY	1681 WASHINGTON ST	BRAINTREE	MA	02184-7948	612.237.7500
JOHNSON	CATHERINE	1681 WASHINGTON ST	BRAINTREE	MA	02184-7948	781.849.9939
RUSSO	MARK	1700 W PARK DR STE 100	WESTBOROUGH	MA	01581-3968	508.481.5507
MILLER	JEFFREY	175 ANDOVER ST STE 201	DANVERS	MA	01923-1443	978.777.6500
ANGERS	CHRISTOPHER	175 DERBY ST STE 27	HINGHAM	MA	02043-4054	781.875.3090
PREVITE	PAUL	175 DERBY ST STE 27	HINGHAM	MA	02043-4054	781.875.1116
MULLANE	JASON	1782 MAIN ST PO BOX 574	ATHOL	MA	01331-0574	978.249.4322
DA CUNHA	DARREL	18 SHIPYARD DR UNIT 2A	HINGHAM	MA	02043-1670	617.367.1120
DUVAL	THOMAS	18 SHIPYARD DR UNIT 2A	HINGHAM	MA	02043-1670	617.367.1006
DURFEE	PETER	180 PARAMOUNT DR STE 2	RAYNHAM	MA	02767-1019	508.824.3655
LEPAIN	TIMOTHY	2 SUMMER ST STE 17	NATICK	MA	01760-4529	508.655.5255
COFFEY	STACEY	20 WALNUT ST STE 318	WELLESLEY	MA	02481-2104	781.237.0491
COSTELLO	BRIAN	200 SILVER ST UNIT 110	AGAWAM	MA	01001-3067	413.848.4220
WHITESTONE	KENNETH	21 HENRY AVE STE 2	PITTSFIELD	MA	01201-6722	413.499.7069
SMITH	KENYA	21 HENRY AVE STE 2	PITTSFIELD	MA	01201-6722	413.499.0788
GERVICH	TOD	22 UNCLE HENRYS RD	MASHPEE	MA	02649-4830	774.521.3800
HOFFMAN	JERROLD	220 FORBES RD STE 204	BRAINTREE	MA	02184-2712	781.618.4801
PIERCE	PAUL	226A RUSSELL ST	HADLEY	MA	01035-9485	413.376.4702
HAYES	PHILIP	226A RUSSELL ST	HADLEY	MA	01035-9485	413.376.4290
NEELY	MATTHEW	24 WATER ST	WILLIAMSTOWN	MA	01267-2837	413.884.6349
MILLAY	MARK	250 HAMPTON ST	AUBURN	MA	01501-2584	508.832.0773
ANASTOPOULOS	GEORGE	275 GROVE ST STE 1W-305	AUBURNDALE	MA	02466-2272	781.762.5578
WILSON	DANIEL	275 GROVE ST STE 1W-305	AUBURNDALE	MA	02466-2272	617.500.4957
BLANCHARD	JILLIAN	275 MARTINE ST STE 300	FALL RIVER	MA	02723-1500	508.916.2480
FOX	KELLY	30 MAN MAR DR STE 14	PLAINVILLE	MA	02762-2271	508.695.2336
CARLSON	KURT	30 NAGOG PARK STE 202	ACTON	MA	01720-3439	978.577.6191
DERBYSHIRE	PAUL	308 W CENTRAL ST STE C	FRANKLIN	MA	02038-2167	508.528.9880
OREFICE	ROGER	310 N MAIN ST	NORTH UXBRIDGE	MA	01538	508.735.1128
KIRK	STEVEN	324 GROVE ST	WORCESTER	MA	01605-3936	508.796.0016
MINA	PETER	324 GROVE ST	WORCESTER	MA	01605-3936	508.796.0027
MALONEY-HAGEL	KAREN	324 GROVE ST	WORCESTER	MA	01605-3936	508.796.0083
MCHUGH	PAUL	324 GROVE ST	WORCESTER	MA	01605-3936	508.796.0018
DOLLIVER	ROBERT	33 BEDFORD ST STE 2	CONCORD	MA	01742-1874	914.373.6876
CAREY	JAMES	350 PARK ST STE 108	NORTH READING	MA	01864-2162	978.664.1861
DE CELLE	SHERRY	38 MAHAWE ST STE 2	GT BARRINGTON	MA	01230-1996	413.717.4147
BONIN	DANIEL	4 CENTRAL ST	FOXBORO	MA	02035-2425	508.543.7197
MORONG	DANIEL	400 TRADECENTER STE 5900	WOBURN	MA	01801-7471	781.569.5055
CORKUM	TIMOTHY	401 EDGEWATER PL STE 110	WAKEFIELD	MA	01880-6210	781.246.6789
WOERDEMAN	GEORGE	431 COUNTRY CLUB WAY STE 2	KINGSTON	MA	02364-4116	508.833.1359
HEIST	MICHELE	450 LEXINGTON ST STE 202	AUBURNDALE	MA	02466-1921	617.500.4225
FARNHAM	JONATHAN	47 GEORGE RYDER RD PO BOX 602	CHATHAM	MA	02633-0602	508.945.8700

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Last	First	Address	City	State	ZIP Code	Bus Phone
GOODWIN	ALFRED	48 FEDERAL ST	GREENFIELD	MA	01301-2536	413.772.0882
SHINE	TRAVIS	48 FEDERAL ST	GREENFIELD	MA	01301-2536	802.257.5500
GRAY	JENNIFER	48 MOUNT VERNON ST STE 300	WINCHESTER	MA	01890-2723	781.604.3004
DANG	HARISH	48 MOUNT VERNON ST STE 300	WINCHESTER	MA	01890-2723	781.604.3023
MEHTA	HITEN	5 MOUNT ROYAL AVE STE 180	MARLBOROUGH	MA	01752-1900	508.303.8144
LANAHAN	JOHN	501 PROVIDENCE HWY	NORWOOD	MA	02062-4954	781.349.8440
CUMMINGS	ROGER	501 PROVIDENCE HWY	NORWOOD	MA	02062-4954	781.349.8440
REARDON	THOMAS	501 PROVIDENCE HWY	NORWOOD	MA	02062-4954	781.349.8440
VAN LOAN	RICH	529 MAIN ST	CHARLESTOWN	MA	02129-1125	617.337.3233
SWALLOW	JAMES	529 MAIN ST SUITE P200	CHARLESTOWN	MA	02129-1125	617.337.3239
GERHARDSON	BRIAN	546 TREMONT ST	BOSTON	MA	02116-6314	617.426.3416
GORCZYCKI	DEBBRA	551 NEWTON ST	SOUTH HADLEY	MA	01075-2037	413.322.8250
DICKSTEIN	HOWARD	551 NEWTON ST	SOUTH HADLEY	MA	01075-2037	413.540.0374
DUVAL	STEPHEN	551 NEWTON ST	SOUTH HADLEY	MA	01075-2037	413.540.0196
COLONNA	MARK	6 ROCK HILL PL	METHUEN	MA	01844-2680	978.682.8384
MC QUAID	GERARD	600 UNICORN PK DR FL 2	WOBURN	MA	01801-3343	781.938.9911
CALLAHAN	THOMAS	661 WASHINGTON STREET STE 203	NORWOOD	MA	02062-3529	781.762.3521
DI CARLO	MICHAEL	662 STATE RD	N DARTMOUTH	MA	02747-1808	508.717.3245
SU	HUNG-CHANG	7 DARTMOUTH ST	DANVERS	MA	01923-1711	978.777.9261
VANCIL	DAVID	70 PARKER ST	GARDNER	MA	01440-3809	978.630.2202
GRAY	JANICE	704 ROUTE 6A	YARMOUTHPORT	MA	02675-2000	508.362.1008
TODD	SEAN	704 ROUTE 6A	YARMOUTHPORT	MA	02675-2000	508.362.1008
PSIKARAKIS	ANTHONY	74 W CENTRAL ST FL 2ND CARRIAGE HOUSE	NATICK	MA	01760-4335	781.453.9600
HANDRAHAN	JOHN	74 W CENTRAL ST FL 2ND CARRIAGE HOUSE	NATICK	MA	01760-4335	781.453.9600
O DONNELL	RICHARD	75 POST OFFICE PARK STE 5	WILBRAHAM	MA	01095-1188	413.599.1775
CRUZ	KYONG	75 POST OFFICE PARK STE 5	WILBRAHAM	MA	01095-1188	413.599.1775
FRAGALA	PAUL	76 MAIN ST	ANDOVER	MA	01810-3835	978.474.9900
BURGESS	TIMOTHY	792 S MAIN ST SUITE 200	MANSFIELD	MA	02048-3137	508.452.0012
WORK	BRUCE	800 MAIN ST PO BOX 931	DENNIS	MA	02638-0931	508.385.3556
SILVERNAIL	PAUL	94 N ELM ST STE 304	WESTFIELD	MA	01085-1641	413.572.1114
MC NULTY	FRANCIS	99 DERBY ST STE 301	HINGHAM	MA	02043-4216	781.740.1288
EAVES	ANDREW	99 DERBY ST STE 301	HINGHAM	MA	02043-4216	781.740.1288
GRILLO	JOSEPHINE	99 DERBY ST STE 301	HINGHAM	MA	02043-4216	781.740.1288
DROUIN	ALFRED	450 LEXINGTON ST STE 202	AUBURNDALE	MA	02466-1921	617.600.3651
FRANGLES	SPEROS	STE 1202W	EAST LONGMEADOW	MA	01028-2399	413.525.7025
HENSCH	JAMIE	STE 1202W	EAST LONGMEADOW	MA	01028-2399	413.525.7025
CARTER	LUKE	STE 302	FALL RIVER	MA	02723-1500	508.837.6443
MULDOON	ASTA	STE 302	FALL RIVER	MA	02723-1500	508.837.6443
DONAHUE	JOAN	SUITE 450	WELLESLEY	MA	02482-4683	781.235.9952
MAHLER	BRIAN	BLDG 1 STE 202 101 LONGWATER CIR	NORWELL	MA	02061-1641	617.691.2112
MOSCHELLA	CHRISTOPHER	BLDG 1 STE 202 101 LONGWATER CIR	NORWELL	MA	02061-1641	617.691.2160
TRITTE	JOHN	BLDG 1 STE 202 101 LONGWATER CIRCLE	NORWELL	MA	02061-1641	781.982.0155
RAMSAY	PETER	BLDG E-11 80 WASHINGTON ST	NORWELL	MA	02061-1729	781.792.0200
CRATTY	WILLIAM	BLDG E-11 80 WASHINGTON ST	NORWELL	MA	02061-1729	781.792.0200
BIRNIE	PETER	BLDG G-37 80 WASHINGTON ST	NORWELL	MA	02061-1741	781.878.5104
FLYNN	JOSEPH	FL 2 229 BILLERICA RD	CHELMSFORD	MA	01824-3632	978.250.0993
WAKEFIELD	JEFFREY	PO BOX 928 125A PLEASANT ST FL 2	NORTHAMPTON	MA	01061-0928	413.727.3895
BIXBY	KEITH	PO BOX 928 125A PLEASANT ST FL 2	NORTHAMPTON	MA	01061-0928	413.727.3895
RHOADES	JOHN	PO BOX 928 125A PLEASANT ST FL 2	NORTHAMPTON	MA	01061-0928	413.727.3895
CORKUM	YON	PRUDENTIAL TOWER 800 BOYLSTON ST FL 16	BOSTON	MA	02199-7637	857.453.6701
HART	PAUL	STE 1 22 S MAIN ST	TOPSFIELD	MA	01983-1835	978.887.8838
SIMONS	GEOFFREY	STE 103 350 PARK ST	NORTH READING	MA	01864-2147	978.664.3242
EHRLICH	BRUCE	STE 103 530 LORING AVE	SALEM	MA	01970-4256	978.745.0600
PEDERSEN	THOMAS	STE 106 840 MAIN ST	MILLIS	MA	02054-1542	508.376.8161
KUTZ	JEFFREY	STE 109 10 NEW ENGLAND BUS CTR DR	ANDOVER	MA	01810-1024	978.269.6344
GAUDINO	WILLIAM	STE 109 10 NEW ENGLAND BUSINESS CTR DR	ANDOVER	MA	01810-1024	978.269.6344
STEARNS	RICHARD	STE 11 190 LITTLETON RD	WESTFORD	MA	01886-3553	978.692.0621
INDELICATO	MELISSA	STE 120 230 2ND AVE	WALTHAM	MA	02451-1124	781.622.9900
CHEUNG	ALLEN	STE 1202 200 N MAIN ST	E LONGMEADOW	MA	01028-2399	413.525.7025
CONNOLLY	SEAN	STE 125 451 ANDOVER ST	NORTH ANDOVER	MA	01845-5070	978.974.9300
SMITH	DAWN	STE 192 63 SOUTH ST	HOPKINTON	MA	01748-2229	508.281.6000
CHRISTMAS	RHODA	STE 2 180 PARAMOUNT DR	RAYNHAM	MA	02767-1019	508.824.3655
CIVALE	CHRISTOPHER	STE 2 180 PARAMOUNT DR	RAYNHAM	MA	02767-1019	508.824.3655
FORMAN	BARRY	STE 2 180 PARAMOUNT DR	RAYNHAM	MA	02767-1019	508.824.3655
PUPA	JOHN	STE 2 218 W MAIN ST	HYANNIS	MA	02601-3778	508.775.2399
FINDER	AVI	STE 200 161 WORCESTER RD	FRAMINGHAM	MA	01701-5300	508.820.2997
ALTENHOFF	MARC	STE 200 271 WAVERLY OAKS RD	WALTHAM	MA	02452-8475	617.715.9890
CROUSE	CHERYL	STE 200 415 BOSTON TPKE	SHREWSBURY	MA	01545-3414	508.842.3013
BACCHETTA	DAVID	STE 200 415 BOSTON TPKE	SHREWSBURY	MA	01545-3414	508.842.3013
BODNAR	ANDREW	STE 201 175 ANDOVER ST	DANVERS	MA	01923-1443	978.777.6500
MAHONEY	DANIEL	STE 201 175 ANDOVER ST	DANVERS	MA	01923-1443	978.646.0025
MATTA	JOSEPH	STE 201 175 ANDOVER ST	DANVERS	MA	01923-1443	978.646.8856
CURTIN	JOHN	STE 201 175 ANDOVER ST	DANVERS	MA	01923-1443	877.524.5522
FUERSTNAU	JAMES	STE 201 175 ANDOVER ST	DANVERS	MA	01923-1443	978.777.6500
ADAMS	LINDA	STE 202 130 COLLEGE ST	SOUTH HADLEY	MA	01075-1493	413.540.0377
GAGE	DOUGLAS	STE 202 450 LEXINGTON ST	AUBURNDALE	MA	02466-1921	617.500.4225
MILLER	RICHARD	STE 202 60 WALNUT ST	WELLESLEY	MA	02481-2103	617.607.3366
GALLAGHER	CHRISTOPHER	STE 204 1 LUMBER ST	HOPKINTON	MA	01748-2365	508.435.5200
FONDO	GARTH	STE 204 1 LUMBER ST	HOPKINTON	MA	01748-2365	508.497.8931
AUTERI	ALAN	STE 204 1 LUMBER ST	HOPKINTON	MA	01748-2365	508.435.0199

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CHRISTIANSEN	KJELL	STE 204 220 FORBES RD	BRAINTREE	MA	02184-2712	781.926.0295
ADAMS	STEPHEN	STE 204 220 FORBES RD	BRAINTREE	MA	02184-2712	781.618.4804
SCHULMAN	JOHANNA	STE 206 2285 MASSACHUSETTS AVE	CAMBRIDGE	MA	02140-1261	617.354.0904
SERPA	OCTAVIA	STE 208 220 FORBES RD	BRAINTREE	MA	02184-2712	781.356.5313
PETRIK	CHRISTOPHER	STE 210 100 GRANDVIEW RD	BRAINTREE	MA	02184-2692	781.817.6750
AVERY	SHAWN	STE 250 40 WASHINGTON ST	WELLESLEY	MA	02481-1807	781.591.7930
DALEY	KEVIN	STE 290 303 WYMAN ST	WALTHAM	MA	02451-1245	781.996.3026
MARKEN	ANTHONY	STE 290 303 WYMAN ST	WALTHAM	MA	02451-1245	781.996.3026
FORCIER	JAMES	STE 290 303 WYMAN ST	WALTHAM	MA	02451-1245	781.996.3026
LAWYER	MARK	STE 2A 11 WATER ST	ARLINGTON	MA	02476-4814	781.641.1783
DAVIDSON	WENDY	STE 2A 11 WATER ST	ARLINGTON	MA	02476-4814	508.796.0091
KENNEY	ELLEN	STE 2A 11 WATER ST	ARLINGTON	MA	02476-4814	781.641.1786
ROSENBLUM	ROBERT	STE 2A 11 WATER ST	ARLINGTON	MA	02476-4814	781.641.1711
IGOE	MAUREEN	STE 2A 11 WATER ST	ARLINGTON	MA	02476-4814	781.641.1414
GARAND	IRENE	STE 3 113 MAIN ST	STURBRIDGE	MA	01566-1280	774.304.1501
ILLINGSWORTH	SCOTT	STE 300 275 MARTINE ST	FALL RIVER	MA	02723-1500	508.916.2480
NOLAN	CAROLYN	STE 300 48 MOUNT VERNON ST	WINCHESTER	MA	01890-2723	781.604.3001
SLAVIN	ALAN	STE 301 1032 TURNPIKE ST	CANTON	MA	02021-2864	781.828.8600
MALTBY	BRADFORD	STE 301 99 DERBY ST	HINGHAM	MA	02043-4216	781.740.1288
DA CUNHA	ANTONIO	STE 301 99 DERBY ST	HINGHAM	MA	02043-4216	781.740.1288
AITKEN	ELIZABETH	STE 301 99 DERBY ST	HINGHAM	MA	02043-4216	781.982.1877
BORGES	NEAL	STE 302 275 MARTINE ST	FALL RIVER	MA	02723-1500	508.837.6443
PIPPITT	THOMAS	STE 302 275 MARTINE ST	FALL RIVER	MA	02723-1500	508.916.2624
AGELOPOULOS	DEAN	STE 303 3 ALLIED DR	DEDHAM	MA	02026-6148	781.742.7301
REILLY	JOANNE	STE 304 175 ANDOVER ST	DANVERS	MA	01923-1443	978.777.8353
CARRYL-YOUNG	JUDY	STE 305 305 N MAIN ST	ANDOVER	MA	01810-3064	978.409.1875
LOOKNER	SAMUEL	STE 318 20 WALNUT ST	WELLESLEY	MA	02481-2104	781.237.0200
MOLZAN	DAVID	STE 318 20 WALNUT ST	WELLESLEY	MA	02481-2104	781.237.0490
FITZGERALD	CATHERINE	STE 318 20 WALNUT ST	WELLESLEY	MA	02481-2104	781.237.0415
LIZOTTE	EDWARD	STE 322 100 GRANDVIEW RD	BRAINTREE	MA	02184-2691	781.356.2086
MC INTYRE	MICHAEL	STE 322 100 GRANDVIEW RD	BRAINTREE	MA	02184-2691	781.356.2086
MIRABELLI	ANTHONY	STE 36 2 ELECTRONICS AVE	DANVERS	MA	01923-1071	978.646.0026
KANTOR	BRENDA	STE 4 59 INTERSTATE DR	W SPRINGFIELD	MA	01089-5100	413.737.9600
TOWER	GRAHAM	STE 401 201 BOSTON POST RD	MARLBOROUGH	MA	01752-4611	508.229.7767
WERNER	BRUCE	STE 401 201 BOSTON POST RD WEST	MARLBOROUGH	MA	01752-4611	508.490.8552
BRANNIGAN	MARK	STE 5 75 POST OFFICE PK	WILBRAHAM	MA	01095-1188	413.599.1775
CORREIA	JEFFERSON	STE 5900 400 TRADE CTR	WOBURN	MA	01801-7471	781.569.5899
MCGRATH	DANIEL	STE 5900 400 TRADECENTER	WOBURN	MA	01801-7471	781.569.5335
DE CELLE	MARK	STE 6 80 MAPLE AVE	GT BARRINGTON	MA	01230-1939	413.644.3270
MEREDITH	KEVIN	STE 6 869 MAIN ST	WALPOLE	MA	02081-2985	508.660.2332
SIMON	DAVID	STE 6B 266 MAIN ST	MEDFIELD	MA	02052-2018	508.242.9556
RADESKY	RICHARD	STE 906 255 PARK AVE	WORCESTER	MA	01609-1984	508.796.0088
MAILLOUX	PHILIP	STE 906 255 PARK AVE	WORCESTER	MA	01609-1984	508.796.0087
CATALFAMO	ANDREW	STE 906 255 PARK AVE	WORCESTER	MA	01609-1984	508.796.0096
KANE	JOSH	STE 906 255 PARK AVE	WORCESTER	MA	01609-1984	508.796.0095
BARNES	SHAWN	STE D 59 INTERSTATE DR	W SPRINGFIELD	MA	01089-5100	413.737.9600
DOHERTY	JAMES	SUITE 301 99 DERBY STREET	HINGHAM	MA	02043-4216	781.740.1288
CLARKE	KARYN	SUITE 6B 260 BOSTON POST RD	WAYLAND	MA	01778-1888	508.276.1626
SNAPP	ADRIENNE	SUITE 6B 260 BOSTON POST RD	WAYLAND	MA	01778-1888	508.276.1263
DEVILLY	WILLIAM	UNIT 1 175 DERBY ST	HINGHAM	MA	02043-4035	781.749.7747
DONOVAN	DAVID	UNIT 1 175 DERBY ST	HINGHAM	MA	02043-4035	781.749.7747
GUINEE	PAUL	UNIT 1 175 DERBY ST	HINGHAM	MA	02043-4035	781.749.7747
WELCH	MICHAEL	UNIT 1 175 DERBY ST	HINGHAM	MA	02043-4035	781.749.7747
SCHAPIRA	CHARLES	UNIT C 76-78 AIRLINE RD	SOUTH DENNIS	MA	02660	508.385.9100
HRAB	WALTER	10440 LITTLE PATUXENT PKWY STE 300	COLUMBIA	MD	21044-3648	410.884.4011
LOHFF	DAVID	109 SAINT MARYS AVE STE 101 PO BOX 672	LA PLATA	MD	20646-0672	301.934.9219
MILLER	MARK	1212 E CHURCHVILLE RD STE 201	BEL AIR	MD	21014-3481	410.638.6389
KUJAWSKI	JAMES	1616 FOREST DR STE 5	ANNAPOLIS	MD	21403-1019	410.627.8599
GREEN	RENEE	1786 GENERALS HWY	ANNAPOLIS	MD	21401-6483	410.241.4864
SHUCK	MICHAEL	2014 S TOLLGATE RD STE 202	BEL AIR	MD	21015-5904	410.569.7050
NIEDZWIECKI	MICHAEL	211 FULFORD AVE	BEL AIR	MD	21014-3813	410.838.7526
KIRK	ANDREA	211 FULFORD AVENUE	BEL AIR	MD	21014-3813	410.569.9694
HURTT	CHARLES	2205 YORK ROAD STE 16	LUTHVLE TIMON	MD	21093-3100	410.842.0717
MOORE	DANIELLE	2324 N ZION RD STE 109	SALISBURY	MD	21801-2572	410.860.1137
PERLROTH	HOWARD	2400 RESEARCH BLVD STE 110	ROCKVILLE	MD	20850-6258	301.670.5505
SCHWARTZ	BRAD	300 RED BROOK BLVD STE 320	OWINGS MILLS	MD	21117-5574	301.876.4925
GALLIGAN-STIERLE	JOEL	300 RED BROOK BLVD STE 320	OWINGS MILLS	MD	21117-5574	410.878.2488
FURNARY	JAMES	3525 ELLICOTT MILLS DR STE H106	ELLICOTT CITY	MD	21043-4506	410.203.0100
RAGHU	ANNE	3717 DECATUR AVE STE 2	KENSINGTON	MD	20895-2148	301.758.0912
GYABAAH	KOJO	3717 DECATUR AVE STE 2	KENSINGTON	MD	20895-2148	301.949.6595
HILLIARD	MICHAEL	4 EVERGREEN RD STE 200	SEVERNA PARK	MD	21146-3822	410.647.5199
BERRY	BONNIE	403 CHARLES ST STE 1A POST OFFICE BOX 1953	LA PLATA	MD	20646-1953	301.934.3420
DIXIT	RAVINDRA	5070 DORSEY HALL DR STE 101	ELLICOTT CITY	MD	21042-7711	443.421.0076
HILLIARD	JAMES	517 BENFIELD RD STE 205	SEVERNA PARK	MD	21146-2540	410.647.1011
SUNDAY	DOUGLAS	531 PENNY LANE	COCKEYSVILLE	MD	21030-2758	410.667.8953
MC GEEVER	DANIEL	6112 OBERLIN AVE	GLEN ECHO	MD	20812-1207	301.320.1342
HERSH	STEVEN	6112 OBERLIN AVE	GLEN ECHO	MD	20812-1207	301.320.1489
HURWITZ	DAVID	6400 GOLDSBORO RD STE 501	BETHESDA	MD	20817-5850	301.263.8509
PARTYKA	JASON	6400 GOLDSBORO RD STE 510	BETHESDA	MD	20817-5850	301.320.0500
ZSAKANY	RICHARD	6400 GOLDSBORO RD STE 511	BETHESDA	MD	20817-5850	301.320.1485

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Last	First	Address	City	State	ZIP Code	Bus Phone
HARRIS	BOBBY	6400 GOLDSBORO RD STE 525	BETHESDA	MD	20817-5826	301.263.8505
SHIRING	CHRISTOPHER	6400 GOLDSBORO RD STE 540	BETHESDA	MD	20817-5851	301.320.1463
TILGHMAN	EDWARD	6400 GOLDSBORO RD STE 560	BETHESDA	MD	20817-5852	301.320.0500
BOSE	GAUTAM	6701 DEMOCRACY BLVD	BETHESDA	MD	20817-1572	240.720.0084
HUKMANI	BHAVIK	6755 BUSINESS PKWY STE 102	ELK RIDGE	MD	21075-6856	410.916.5628
HALEY	PREAL	7711 BELLE POINT DRIVE	GREENBELT	MD	20770-3300	301.982.1206
MARTIN	JOSEPH	8601 GEORGIA AVE STE 910	SILVER SPRING	MD	20910-3440	301.587.6700
SCHAD	STEPHEN	877 BALTIMORE ANNAPOLIS BLVD STE 315	SEVERNA PARK	MD	21146-4712	410.975.9778
ROSENTHAL	DAVID	877 BALTIMORE ANNAPOLIS BLVD STE 315	SEVERNA PARK	MD	21146-4712	410.975.9773
PERKINS	DONALD	8825 STANFORD BLVD STE 200	COLUMBIA	MD	21045-4757	410.715.2506
MOSER	CHRISTOPHER	8825 STANFORD BLVD STE 200	COLUMBIA	MD	21045-4757	410.740.4300
AVRUNIN	BRIAN	8825 STANFORD BLVD STE 200	COLUMBIA	MD	21045-4757	410.715.9021
KUCZYNSKI	JUSTIN	8825 STANFORD BLVD STE 200	COLUMBIA	MD	21045-4757	443.832.4230
HILLS	GREGORY	9210 CORPORATE BLVD STE 240	ROCKVILLE	MD	20850-6221	301.330.6630
HART	JOHN	9210 CORPORATE BLVD STE 240	ROCKVILLE	MD	20850-6221	301.330.6630
MC GARVEY	CHRISTOPHER	180 ADMIRAL COCHRANE DR	ANNAPOLIS	MD	21401-7300	443.837.1077
BEN YAHIA	MOHAMED	STE 550	BETHESDA	MD	20817-5826	301.263.8500
AHMAD	AFTAB	STE 550	BETHESDA	MD	20817-5826	301.320.1480
VALLE	CHRISTOPHER	STE 550	BETHESDA	MD	20817-5826	301.320.0500
THOMS	BRIAN	STE 550	BETHESDA	MD	20817-5826	301.320.1191
PERSCHKE	ERIC	STE 550	BETHESDA	MD	20817-5826	301.320.1193
HEMSLEY	JOSEPH	STE 550	BETHESDA	MD	20817-5826	301.320.1474
BERLIN	MITCHELL	STE 550	BETHESDA	MD	20817-5826	301.263.8508
BERISS	MICHAEL	STE 550	BETHESDA	MD	20817-5826	301.320.1462
BRANDRISS	LEVI	STE 550	BETHESDA	MD	20817-5826	301.320.1194
LUPICA	LEONARD	STE 550	BETHESDA	MD	20817-5826	301.320.1473
BREZOVEC	MICHAEL	STE 550	BETHESDA	MD	20817-5826	301.320.1483
KATZENBARGER	SCOTT	STE 550	BETHESDA	MD	20817-5826	301.320.1479
KRZYWICKI	GEORGE	STE 550	BETHESDA	MD	20817-5826	301.320.0500
BOLLHORST	LEE	BLDG 7-6 222 SEVERN AVE STE 20	ANNAPOLIS	MD	21403-2581	410.975.0291
BEHNAMEH	ANNA	STE 1000 6010 EXECUTIVE BLVD	ROCKVILLE	MD	20852-3829	301.284.8800
PEARLSTEIN	JONATHAN	STE 101 3312 PAPER MILL RD	PHOENIX	MD	21131-1474	443.541.4665
RAMACHANDRAN	CHANDRU	STE 104 7101 GUILFORD DR	FREDERICK	MD	21704-5198	301.682.8400
RUNKLES	BRIAN	STE 104 7101 GUILFORD DR	FREDERICK	MD	21704-5198	301.360.9840
DAVIS	IAN	STE 200 5850 WATERLOO RD	COLUMBIA	MD	21045-1999	410.461.4270
CAMPBELL	KARL	STE 200 6700 ALEXANDER BELL DR	COLUMBIA	MD	21046-2105	443.873.1485
SOLOMON	DAVID	STE 200 8825 STANFORD BLVD	COLUMBIA	MD	21045-4757	410.715.2506
PLANT	RICHARD	STE 200 8825 STANFORD BLVD	COLUMBIA	MD	21045-4757	410.715.2506
MURPHY	JOHN	STE 201 711 BESTGATE RD	ANNAPOLIS	MD	21401-2763	410.224.7583
PASTA	THOMAS	STE 201 711 BESTGATE RD	ANNAPOLIS	MD	21401-2763	410.224.7582
CARLSON	JEFFREY	STE 209A 10025 GOV WARFIELD PKWY	COLUMBIA	MD	21044-3340	410.740.8000
COSTIGAN	MICHAEL	STE 216 5550 STERRETT PL	COLUMBIA	MD	21044-2626	410.720.3190
JAMES	BENJAMIN	STE 216 5550 STERRETT PL	COLUMBIA	MD	21044-2626	410.997.9490
HEIDENBERG	TIMOTHY	STE 216 5550 STERRETT PLACE	COLUMBIA	MD	21044-2626	410.997.3788
RITSINIAS	SPYROS	STE 260 1819 BAY RIDGE AVE	ANNAPOLIS	MD	21403-2835	410.971.6289
BROOKS	DANIELLE	STE 260 1819 BAY RIDGE AVE	ANNAPOLIS	MD	21403-2835	410.280.5554
REPKO	DAVID	STE 303 9515 DEERCO RD	TIMONIUM	MD	21093-2152	410.823.8933
PRICE	JAMIE	STE 308 6755 BUSINESS PKWY	ELK RIDGE	MD	21075-6740	410.729.9084
LAVORINI	LARRY	STE 315 877 BALTIMORE ANNAPOLIS BLVD	SEVERNA PARK	MD	21146-4712	410.729.9080
LANGELLO	ANTHONY	STE 315 877 BALTIMORE ANNAPOLIS BLVD	SEVERNA PARK	MD	21146-4712	410.729.9083
ACKERSON	STEVEN	STE 315 877 BALTIMORE ANNPLS	SEVERNA PARK	MD	21146-4712	410.975.9776
MORGAN	WILLIAM	STE 340 3300 N RIDGE RD	ELLCOTT CITY	MD	21043-3473	410.418.9800
BROWN	MELFORD	STE 410 1122 KENILWORTH DR	TOWSON	MD	21204-2148	410.583.5501
HOEN	CHRISTOPHER	STE 5 9928 OLD OCEAN CITY BLVD	BERLIN	MD	21811-1168	410.629.0947
HERRING	EDWARD	STE 500 11350 MCCORMICK RD	HUNT VALLEY	MD	21031-1002	410.771.5522
JUERGENSEN	RICHARD	STE 500 11350 MCCORMICK RD	HUNT VALLEY	MD	21031-1002	410.771.5522
SAUNDERS	ROBERT	STE 550 180 ADMIRAL COCHRANE	ANNAPOLIS	MD	21401-8411	443.837.1064
THOMAS	JAMES	STE 550 180 ADMIRAL COCHRANE DR	ANNAPOLIS	MD	21401-8411	443.837.1071
DUBINSKI	JOSEPH	STE 550 180 ADMIRAL COCHRANE DR	ANNAPOLIS	MD	21401-8411	443.837.1060
FAHEL	BASSAM	STE 550 6400 GOLDSBORO RD	BETHESDA	MD	20817-5846	301.263.8506
FAGHANI	ROD	STE 550 6400 GOLDSBORO RD	BETHESDA	MD	20817-5846	301.365.6776
BROSTROM	ILENE	STE 550 6400 GOLDSBORO RD	BETHESDA	MD	20817-5846	301.320.1465
SAAVEDRA	MAXIMILIANO	STE 550 6400 GOLDSBORO RD	BETHESDA	MD	20817-5846	301.320.0500
WILLIAMS	MARK	STE 550 6400 GOLDSBORO RD	BETHESDA	MD	20817-5846	301.320.1454
ALLEN	DENISE	STE 910 8601 GEORGIA AVE	SILVER SPRING	MD	20910-3440	202.223.3450
COLLETT	DONALD	SUITE 550 180 ADMIRAL COCHRANE DR	ANNAPOLIS	MD	21401-8411	443.837.1062
CROW	FREDERICK	SUITE 550 180 ADMIRAL COCHRANE DRIVE	ANNAPOLIS	MD	21401-8411	443.837.1070
MARTIN	MICHAEL	11 W MAIN STREET STE 103	FORT KENT	ME	04743-1250	207.231.4862
HESS	ALAN	12 STILLWATER AVE STE 4	BANGOR	ME	04401-3984	207.942.4776
DAGGETT	LEIGH	15 SKY VIEW DR STE 102	CUMB FORESIDE	ME	04110-1472	207.805.1111
DAGGETT	ROBERT	15 SKY VIEW DR STE 102	CUMB FORESIDE	ME	04110-1472	207.805.1111
SIMARD	MATTHEW	2 GREAT FALLS PLZ SUITE 6B-4	AUBURN	ME	04210-5966	207.784.0700
MAKI	MICHELLE	2 SKYLINE DR PO BOX 119	JAY	ME	04239-0119	207.897.5869
AUGER	ROGER	200 US ROUTE 1	SCARBOROUGH	ME	04074-6002	207.883.4200
LAMB	JAMES	200 US ROUTE 1 STE 110	SCARBOROUGH	ME	04074-6005	207.883.4200
RILEY	SEAN	215 FORESIDE RD	FALMOUTH	ME	04105-1786	207.899.2660
TUELL	MICHAEL	23 WATER ST STE 405 KEY PLAZA	BANGOR	ME	04401-6395	207.307.7718
WHITE	CHARLES	24 BAYVIEW STREET STE 2	CAMDEN	ME	04843-2258	207.230.7200
LEMIEUX	SCOTT	409 BATH RD	BRUNSWICK	ME	04011-2633	207.729.0734
EATON	ERICK	45 FOREST FALLS DR	YARMOUTH	ME	04096-6999	207.846.1175

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GARDNER	DAVID	45 FOREST FALLS DR SUITE B1	YARMOUTH	ME	04096-6999	207.846.1175
HUGHES	JOHN	5 WARD ST	SCARBOROUGH	ME	04074-9520	207.883.4434
GILBERT-TONDREAU	CAROL	60 S CHESTNUT ST	AUGUSTA	ME	04330-7224	207.213.6138
ST PIERRE	JEAN	62 MAIN ST	TOPSHAM	ME	04086-1281	207.729.0137
HAGSTROM	DONALD	STE 1 105 MAIN ST	BANGOR	ME	04401-6307	207.942.2367
DEANE	JAY	STE 1 105 MAIN STREET	BANGOR	ME	04401-6307	207.990.4437
HOENIG	LANCE	STE 100 5 BRADEEN ST	SPRINGVALE	ME	04083-1901	207.324.4560
CHAMBERS	DAVID	STE 102 10 PLAZA DR	SCARBOROUGH	ME	04074-1801	207.899.4091
LAWLER	PATRICK	STE 102 10 PLAZA DR	SCARBOROUGH	ME	04074-1801	207.289.1004
DUNCKEL	SARAH	STE 2 168 CAPITOL ST	AUGUSTA	ME	04330-6856	207.213.6007
BONNEY	JEFFREY	STE 8 62 PORTLAND RD	KENNEBUNK	ME	04043-6650	207.985.6543
EDGAR	THOMAS	STE B1 45 FOREST FALLS DR	YARMOUTH	ME	04096-6999	207.846.1175
HERSEY	JOSEPH	STE B1 45 FOREST FALLS DR	YARMOUTH	ME	04096-6999	207.846.1175
HARRISON	AARON	1 HERITAGE PLACE STE 500	SOUTHGATE	MI	48195-3051	734.281.3700
IVEZAJ	MARK	100 W BIG BEAVER RD STE 200	TROY	MI	48084-5283	248.780.4690
PHILLIPS	WAYNE	1001 WOODWARD AVE STE 500	DETROIT	MI	48226-1920	313.867.2332
GILBERT	GREGORY	101 W BIG BEAVER RD STE 1400	TROY	MI	48084-5295	248.955.3313
SRIRAM	SANKARAN	101 W BIG BEAVER RD STE 1468	TROY	MI	48084-5356	248.687.1115
MANTYLA	TIMOTHY	104 E INDIAN ST	MIDLAND	MI	48640-5286	989.631.9270
MC KINNON	MARK	110 EAST B ST	IRON MOUNTAIN	MI	49801-3409	906.774.6444
CONSTANTINE	MICHAEL	1100 MAIN ST	ST JOSEPH	MI	49085-1550	269.983.8030
MOSSETT	FRANCIS	11290 GRAND RIVER RD	BRIGHTON	MI	48116-9590	866.879.9303
BAIDEL	ROBERT	116 W MAIN ST	BRIGHTON	MI	48116-1522	810.588.4557
DOOLITTLE	LORRI	122 S COCHRAN AVE	CHARLOTTE	MI	48813-1510	517.663.8663
SIMONSEN	EDWARD	1224 MILITARY RD	HOUGHTON	MI	49931-1986	906.482.1747
BUMGARDNER	SHAWN	12455 DIX TOLEDO RD	SOUTHGATE	MI	48195-1724	734.284.3700
ANDERSON	RYAN	1310 S MAIN ST STE 14	ANN ARBOR	MI	48104-3786	734.995.3996
BALCEROWIAK	CHRISTOPHER	13854 LAKESIDE CIR STE 216 AND 210	STERLING HTS	MI	48313-1316	877.907.8625
INGHAM	SHERRIE	1450 W LONG LAKE RD STE 145	TROY	MI	48098-6351	248.817.3200
TURNER	WILLIAM	1450 W LONG LAKE RD STE 145	TROY	MI	48098-6351	248.817.3200
COOPER	THOMAS	1450 W LONG LAKE RD STE 375	TROY	MI	48098-6353	248.682.3800
KNAFFLA	SCOTT	1501 DIVISION ST	MARQUETTE	MI	49855-5113	906.226.7526
DUBINSKI	PHILIP	1505 COLONNADE CT	CANTON	MI	48187-5804	734.981.5376
CURNOW	ANTHONY	1537 E HILL RD STE 150	GR BLANC	MI	48439-5192	810.695.3960
NOLAN	LUKE	1600 TOWN COMMONS DR STE 104	HOWELL	MI	48855-6807	517.680.4363
DEMARK	PAUL	17450 HALL RD STE 161	CLINTON TWP	MI	48038-6920	586.690.6081
GRAY	THOMAS	17450 HALL RD STE 161	CLINTON TWP	MI	48038-6920	586.690.6065
GREENLEE	MARC	200 E BIG BEAVER RD STE 151	TROY	MI	48083-1208	248.443.3232
FITZHUGH	ERIKA	200 MAPLE PARK BLVD STE 206	ST CLAIR SHRS	MI	48081-2211	586.778.2600
BOOKO	DAVID	200 S MAIN ST	THREE RIVERS	MI	49093-1695	269.278.8113
VERNON	KENNETH	2000 TOWN CTR STE 1900	SOUTHFIELD	MI	48075-1152	248.233.0791
BOUTY-FEUEBACH	JERRY	209 LUDINGTON ST	ESCANABA	MI	49829-4027	906.789.0125
PARRETT	STEVEN	209 LUDINGTON ST	ESCANABA	MI	49829-4027	906.789.0125
MILLIO	CHRISTOPHER	216 W MICHIGAN AVE STE 1	SALINE	MI	48176-1381	734.477.5223
SOMMER	BRIAN	2182 COMMONS PKWY	OKEMOS	MI	48864-3986	517.349.2880
HEINZE	BRYAN	235 W TAFT RD STE 200	ASHLEY	MI	48806-9612	989.838.2565
BYNUM	WILLIAM	2370 W JEFFERSON AVE	TRENTON	MI	48183-2352	734.675.4711
SLOAN	MARK	2400 I-75 BUSINESS LOOP PO BOX 808	GRAYLING	MI	49738-0808	989.348.8232
LARSON	LARRY	2400 US HIGHWAY 41 W	MARQUETTE	MI	49855-2261	906.228.9191
MIHAESCU	DAN	24280 WOODWARD AVE	PLEASANT RIDGE	MI	48069-1127	248.799.5902
STEVES	JOHN	24280 WOODWARD AVE	PLEASANT RIDGE	MI	48069-1127	248.799.5991
WHITBECK	ANTHONY	24280 WOODWARD AVE	PLEASANT RDG	MI	48069-1127	248.939.4545
RAINE	HEIDI	24280 WOODWARD AVENUE	PLEASANT RIDGE	MI	48069-1127	248.554.3910
HART	LEE	24280 WOODWARD AVENUE	PLEASANT RDG	MI	48069-1127	248.554.3900
MAY	JAMIE	250 E DIVISION ST	ROCKFORD	MI	49341-1304	616.866.0202
SCHALK	SCOTT	2603 NILES AVE STE B	SAINT JOSEPH	MI	49085-1954	269.471.2639
KELLMANN	LAURA	2800 S STATE ST STE 205	ANN ARBOR	MI	48104-7103	734.477.5229
TIMMER	BRIAN	2856 PORT SHELTON ST	HUDSONVILLE	MI	49426-9314	616.379.5248
PITTMAN	STANLEY	28970 CARMEL DR	SOUTHFIELD	MI	48076-5505	248.223.0135
BOSKO	LEE	291 W LAKEWOOD BLVD STE F-3 BOX 14	HOLLAND	MI	49424-1969	616.298.8124
NYITRAY	CHAD	2950 S STATE ST STE 360	ANN ARBOR	MI	48104-7101	734.213.2145
KAPUR	DIVISHA	31700 TELEGRAPH RD STE 220	BINGHAM FARMS	MI	48025-3466	248.873.1700
GRANDA	MEGAN	3220 FASHION SQ BLVD	SAGINAW	MI	48603-2461	989.921.4868
DOWNING	JAMES	3260 E MORGAN RD	ANN ARBOR	MI	48108-9636	734.975.8762
REVETT	ROBERT	3337 S AIRPORT RD W STE 4	TRAVERSE CITY	MI	49684-7927	231.947.6700
FIORENZO	MICHAEL	3347 EAGLE RUN DR NE STE C	GRAND RAPIDS	MI	49525-7054	616.726.1452
SANFORD	JAMES	3347 EAGLE RUN DR STE C	GRAND RAPIDS	MI	49525-7054	616.726.1452
ILYASOV	ANDREY	38505 WOODWARD AVE STE 278	BLOOMFELD HLS	MI	48304-5093	248.875.5700
NELSON	TROY	41000 W 7 MILE RD STE 115	NORTHVILLE	MI	48167-2659	248.333.7590
EWASYSHYN	MARY	41000 W 7 MILE RD STE 115	NORTHVILLE	MI	48167-2659	248.286.7180
MURRAY	JAY	41000 W 7 MILE RD STE 115	NORTHVILLE	MI	48167-2659	800.690.5264
MANN	GURVEER	41000 W 7 MILE RD STE 115	NORTHVILLE	MI	48167-2659	248.277.3040
BECK	JORDAN	414 1ST ST	MENOMINEE	MI	49858-3361	906.863.5587
SCHULTZ	LARRY	418 LAKE NEPESSING RD	LAPEER	MI	48446-2961	810.667.4190
BURKE	KEENAN	418 LAKE NEPESSING RD	LAPEER	MI	48446-2961	989.354.0730
GRIFFITH	JAMES	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	248.715.4055
SWAGGERTY	STEVEN	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	248.916.9860
VAN WAMBEKE	JOHN	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	248.221.1990
MULLALLY	WILLIAM	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	734.432.6450
KILGREN	KEVIN	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	248.715.4055

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COATES	ROBERT	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	734.432.6441
KLASSA	MICHAEL	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	734.432.6490
GALLAGHER	JAMES	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	248.221.1980
CARUANA	ANTHONY	43155 MAIN ST STE 2200A	NOVI	MI	48375-1980	248.692.4210
KERSCHBAUM	ROBERT	433 E MICHIGAN AVE	KALAMAZOO	MI	49007-3813	269.216.7070
GAMACHE	ROGER	44 E 8TH ST STE 215	HOLLAND	MI	49423-3531	616.392.1040
CAYWOOD	TIMOTHY	4575 LAKE MICHIGAN DR NW	GRAND RAPIDS	MI	49534-3537	855.885.1644
HENDON	JACK	4575 LAKE MICHIGAN DR NW	GRAND RAPIDS	MI	49534-3537	231.924.8320
MEHRABAN	ZAHRA SARA	4750 VENTURE DR STE 150	ANN ARBOR	MI	48108-9506	734.477.5233
CUNNINGHAM	MATTHEW	4750 VENTURE DR STE 150	ANN ARBOR	MI	48108-9506	734.477.5231
SIMS	FRANK	4750 VENTURE DR STE 150	ANN ARBOR	MI	48108-9506	734.477.5234
FITZMORRIS	MICHAEL	4750 VENTURE DR STE 150	ANN ARBOR	MI	48108-9506	734.477.5280
MURRAY	SARAH	4750 VENTURE DR STE 150	ANN ARBOR	MI	48108-9506	734.477.5226
DIJAK	TIMOTHY	4855 STATE ST STE 5	SAGINAW	MI	48603-3891	989.921.4982
DIJAK	DANIEL	4855 STATE ST STE 5	SAGINAW	MI	48603-3891	989.921.4982
KASSON	DANIEL	4855 W CENTRE AVE STE D	PORTAGE	MI	49024-4686	269.353.4133
BRIEGER	GUNTHER	50 W BIG BEAVER RD STE 175	TROY	MI	48084-5203	248.939.4545
TUCKER	NICHOLAS	50 W BIG BEAVER RD STE 175	TROY	MI	48084-5203	248.939.4545
WALES	DANA	505 PLEASANT ST STE 200	ST JOSEPH	MI	49085-1269	269.983.7555
ROLFFES	JOHN	519 W MAIN ST	BRIGHTON	MI	48116-1478	734.424.1700
JANKAUSKAS	MARK	52280 VAN DYKE AVE	SHELBY TOWNSHIP	MI	48316-3530	586.254.4227
STOTENBUR	JAMES	526 SOUTH CREYTS D	LANSING	MI	48917-8263	517.323.4877
WALLACE	JEFFREY	527 HURON AVE	PORT HURON	MI	48060-3805	810.987.5370
BEATTY	STEVEN	527 HURON AVE	PORT HURON	MI	48060-3805	810.987.5370
BETTS	DAVID	527 HURON AVE	PORT HURON	MI	48060-3805	810.987.5370
LIEHR	DANIEL	5751 EAST G AVE	KALAMAZOO	MI	49004-9591	269.720.9931
MIEDEMA	NEAL	5991 VENTURE PARK DR	KALAMAZOO	MI	49009-1859	269.329.1683
REED	JASON	5991 VENTURE PARK DR	KALAMAZOO	MI	49009-1859	269.375.3782
OSBORNE	SHAUN	600 CHARLEVOIX AVE	PETOSKEY	MI	49770-2287	231.439.0911
JANSEN	JESTIN	6010 EAGLE TRACE DR	YPSILANTI	MI	48197-6202	734.544.6544
FRATTALLONE	SYLVIA	6300 FULTON ST E	ADA	MI	49301-9038	616.682.5000
MIRZA	ALAN	6435 28TH AVE	HUDSONVILLE	MI	49426-9313	616.662.0420
SMOJVER	GEORGE	6800 W Q AVE	KALAMAZOO	MI	49009-4092	269.321.5021
CARLSON	PAUL	6800 W Q AVE	KALAMAZOO	MI	49009-4092	269.329.7359
KLEIN	JASON	7130 S WESTNEDGE AVE	PORTAGE	MI	49002-4209	269.321.5002
CHIMNER	GREGORY	7130 S WESTNEDGE AVE	PORTAGE	MI	49002-4209	269.321.5002
ORWIG	RANDY	7130 S WESTNEDGE AVE	PORTAGE	MI	49002-4209	269.321.5002
MCLELLAN	JAMES	714 N MAIN ST STE 101	ROCHESTER	MI	48307-1453	248.687.2800
HAMPTON	SHAUN	726 NOTRE DAME	GROSSE POINTE	MI	48230-1240	313.885.4414
HARRISON	DANIEL	726 NOTRE DAME ST	GROSSE POINTE	MI	48230-1240	313.885.4414
KUYERS	DAVID	7700 BYRON CENTER AVE SW	BYRON CENTER	MI	49315-9468	616.797.0866
WILLIS	JAYCOB	7700 BYRON CENTER AVE SW	BYRON CENTER	MI	49315-9468	616.209.5206
KUENNEN	JASON	7700 BYRON CENTER AVE SW	BYRON CENTER	MI	49315-9468	616.272.4179
CHAMBERS	CHRISTOPHER	7950 MOORSBRIDGE RD STE 304	PORTAGE	MI	49024-4420	269.276.0554
KAISER	MARK	821 N MAIN ST	ROCHESTER	MI	48307-1435	248.275.1671
THORPE	JAMES	835 MASON ST STE B280	DEARBORN	MI	48124-2256	313.216.0132
NOONAN	CRAIG	835 MASON ST STE B280	DEARBORN	MI	48124-2256	313.216.0134
SAIUS	RAYMOND	835 MASON ST STE B280	DEARBORN	MI	48124-2256	313.216.0135
PAULSON	DONALD	8712 GULL RD PO BOX 407	RICHLAND	MI	49083-0407	269.629.6040
PIOTROWSKI	KATHY	894 ENGLEWOOD DR	ROCHESTER HLS	MI	48309-1069	248.375.9288
MATATOV	VADIM	900 WILSHIRE DR STE 255	TROY	MI	48084-1637	248.244.8177
POTTER	ROBERT	900 WILSHIRE DR STE 255	TROY	MI	48084-1637	248.244.8177
RITTER	TIMOTHY	9900 JOAN CIR	YPSILANTI	MI	48197-6912	734.484.4724
ROSIER	ADAM	23054 CHERRY HILL	DEARBORN	MI	48124-1066	313.216.0133
SMITH	THOMAS	26200 TOWN CENTER DR STE 250	NOVI	MI	48375-2150	248.349.4540
PERIORD	JAMES	9364 APPLE CREST DR	SALINE	MI	48176-9436	734.429.2236
COFFIELD	MICHAEL	STE 255	TROY	MI	48084-1637	248.244.9160
OSBORNE	WILLIAM	STE 255	TROY	MI	48084-1637	248.244.9160
COX	DAVID	STE 255	TROY	MI	48084-1637	248.244.9160
BENSON	MITCHELL	STE 270	TROY	MI	48098-6328	248.928.1300
LYNN	JEFFREY	STE 270	TROY	MI	48098-6328	248.928.1300
BELL	TIMOTHY	STE 300	FARMINGTON HILLS	MI	48334-1288	248.626.1600
JONES	THOMAS	STE 300	OKEMOS	MI	48864-3515	517.381.2332
VOYLES	GREGORY	STE 300	FARMINGTON HILLS	MI	48334-1288	248.626.1600
ANDERSON	PATRICK	STE 300	OKEMOS	MI	48864-3515	517.381.2332
STUMP	TODD	STE 300	OKEMOS	MI	48864-3515	517.381.2332
SINGH	NEETA	STE 300	FARMINGTON HILLS	MI	48334-1288	248.626.1600
LACKOWSKI	WILLIAM	PO BOX 97 3473 MAIN ST	DECKERVILLE	MI	48427-0097	810.376.4710
HARMON	PHILLIP	STE 1 5863 S WARNER AVE	FREMONT	MI	49412-8286	231.924.8780
KISH	JOHN	STE 100 325 N CENTER ST	NORTHVILLE	MI	48167-2764	248.348.0080
ZEAITER	FOUAD	STE 100 7950 MOORSBRIDGE RD	PORTAGE	MI	49024-4420	269.492.6600
HAUSCH-COOPER	DAWN	STE 101 8455 S SAGINAW ST	GRAND BLANC	MI	48439-2087	810.579.2838
DOLLARD	BENJAMIN	STE 103 1717 RIDGEWOOD DR	MIDLAND	MI	48642-5842	989.835.2680
BACHMANN	DANIEL	STE 104 1600 TOWN COMMONS DR	HOWELL	MI	48855-6807	517.680.4363
AMAYA	VICTOR	STE 104 630 KENMOOR AVE SE	GRAND RAPIDS	MI	49546-8626	616.570.0433
KILDEE	WILLIAM	STE 105 A 13919 S WEST BAYSHORE DR	TRAVERSE CITY	MI	49684-6215	231.935.1457
FERHADSON	KEVIN	STE 106 900 WILSHIRE DR	TROY	MI	48084-1600	248.509.0077
GRAHAM	DANIEL	STE 112 391 S SHORE DR	BATTLE CREEK	MI	49014-5446	269.979.3521
BOTTI	ALICIA	STE 115 41000 W 7 MILE RD	NORTHVILLE	MI	48167-2659	248.277.3040
DEUTCH	ELIZABETH	STE 115 41000 W 7 MILE RD	NORTHVILLE	MI	48167-2659	248.277.3040

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Last	First	Address	City	State	ZIP Code	Bus Phone
MC MANUS	CLAUDE	STE 12 975 3 MILE RD NW	GRAND RAPIDS	MI	49544-1681	616.647.8638
FITZSIMMONS	MICHAEL	STE 138 17197 N LAUREL PARK DR	LIVONIA	MI	48152-7914	734.432.6444
VANNICE	THADDEUS	STE 1400 OFC 1431 101 W BIG BEAVER RD	TROY	MI	48084-5295	800.645.7961
POHLOD	MICHAEL	STE 1400 OFC 1431 101 W BIG BEAVER RD	TROY	MI	48084-5295	800.645.7961
LANG	JAMES	STE 150 1537 E HILL RD	GRAND BLANC	MI	48439-5192	810.695.3960
PAULDINE	DEBRA	STE 150 1537 E HILL RD	GRAND BLANC	MI	48439-5192	810.695.3960
BRYANT	RALPH	STE 160 20700 CIVIC CENTER DR	SOUTHFIELD	MI	48076-4140	248.327.7497
ZIMMERMAN	ERIC	STE 200 43900 GARFIELD RD	CLINTON TWP	MI	48038-1137	586.213.5677
EVOLA	DAVID	STE 200 43900 GARFIELD RD	CLINTON TWP	MI	48038-1137	586.213.5677
ROCCO	FRANK	STE 200 700 TOWER DR	TROY	MI	48098-2839	248.247.3010
GLIDDEN	MARY	STE 200 700 TOWER DR	TROY	MI	48098-2839	248.247.3010
GIRA	SHERRY	STE 200 700 TOWER DR	TROY	MI	48098-2839	248.247.3010
OSWALD	THOMAS	STE 200 700 TOWER DR	TROY	MI	48098-2839	248.247.3010
KAMINSKI	DAVID	STE 201 545 N MAIN ST	MILFORD	MI	48381-5110	248.685.2685
GARROW	DOUGLAS	STE 206 310 W WASHINGTON ST	MARQUETTE	MI	49855-4334	906.225.0661
DIENER	DWIGHT	STE 210 39520 WOODWARD AVE	BLOOMFLD HLS	MI	48304-5057	248.655.5069
HUIZENGA	TIMOTHY	STE 215 44 E 8TH ST	HOLLAND	MI	49423-3531	616.392.6614
JACOBS	ERIC	STE 230 7600 GRAND RIVER RD	BRIGHTON	MI	48114-7339	810.206.2015
CLUCKEY	LYNN	STE 230 7600 GRAND RIVER RD	BRIGHTON	MI	48114-7339	810.206.2015
SMITH	AMY	STE 250 26200 TOWN CENTER DR	NOVI	MI	48375-1244	248.349.4540
KUHN	JAY	STE 255 900 WILSHIRE DR	TROY	MI	48084-1637	248.244.9160
GAINER	PAUL	STE 255 900 WILSHIRE DR	TROY	MI	48084-1637	248.655.5072
BRAZEN	DAVID	STE 270 1301 W LONG LAKE RD	TROY	MI	48098-6325	248.928.1300
NAGLE	JOHN	STE 291 2701 TROY CENTER DR	TROY	MI	48084-4741	248.269.8000
DU CHARME	STEVEN	STE 291 2701 TROY CTR	TROY	MI	48084-4741	248.269.8000
BOLOGNA	FRANK	STE 291 2701 TROY CTR DR	TROY	MI	48084-4741	248.269.8000
MUSICK	DANIEL	STE 293 4595 BROADMOOR AVE SE	KENTWOOD	MI	49512-5449	616.828.4782
BEAGLE	CURTIS	STE 2B 1042 SUTTON RD	ADRIAN	MI	49221-8344	517.266.2577
PERRY	BRYAN	STE 2B 1042 SUTTON RD	ADRIAN	MI	49221-8344	517.263.8862
CUSHARD	DAVID	STE 3 1035 LAURENCE AVE	JACKSON	MI	49202-2985	800.601.5034
POZDOL	DANIEL	STE 300 31555 W 14 MILE RD	FARMINGTN HLS	MI	48334-1288	248.626.1600
ROY	PAT	STE 304 2025 E BELTLINE AVE SE	GRAND RAPIDS	MI	49546-7634	616.954.9456
TOLER	KEVIN	STE 310 38 COMMERCE AVE SW	GRAND RAPIDS	MI	49503-4143	616.977.2639
KAY	LINDA	STE 375 3150 LIVERNOIS RD	TROY	MI	48083-5065	248.817.2075
LEE	WILLIAM	STE 4 3337 S AIRPORT RD W	TRAVERSE CITY	MI	49684-7927	231.947.6700
VLIET	DONALD	STE 450 19500 VICTOR PKWY	LIVONIA	MI	48152-7014	734.742.7558
VALADE	THOMAS	STE 450 19500 VICTOR PKWY	LIVONIA	MI	48152-7014	734.742.7555
JAGGI	CHRISTOPHER	STE 450 19500 VICTOR PKWY	LIVONIA	MI	48152-7014	734.742.7560
PIERSALL	JOHN	STE 5 4855 STATE ST	SAGINAW	MI	48603-3891	989.921.4982
NANASI	PETER	STE 500 1 HERITAGE PLACE	SOUTHGATE	MI	48195-3051	734.281.7374
CICHOWLAS	JANICE	STE 500 1 HERITAGE PLACE	SOUTHGATE	MI	48195-3051	734.407.2326
FURLOTTE	ERIC	STE 80 33493 W 14 MILE RD	FARMINGTN HLS	MI	48331-1587	248.918.2333
CARGILL	LISA	STE A 6701 OLD 28TH ST SE	GRAND RAPIDS	MI	49546-6937	616.682.5103
MILOSAVLEVSKI	STEPHANIE	STE B 2139 COMMONS PKWY	OKEMOS	MI	48864-3987	517.253.8563
EVERETT	JIMMY	STE B 2603 NILES AVE	ST JOSEPH	MI	49085-1954	269.983.2700
WIT	GEORGE	STE C 3347 EAGLE RUN DR	GRAND RAPIDS	MI	49525-7054	616.726.1452
JOERKE	LESLIE	STE C 711 E GRAND RIVER AVE	BRIGHTON	MI	48116-2474	810.360.2279
MYSLIWIEC	PAUL	STE D 3351 EAGLE RUN DR NE	GRAND RAPIDS	MI	49525-7070	616.363.3489
WEYHER	DOUGLAS	STE H 112 W WASHINGTON ST	MARQUETTE	MI	49855-4367	906.228.3505
ROSVOLD	ERIK	10000 MINNETONKA BLVD	MINNETONKA	MN	55305-4656	952.746.9458
DAVIS	THOMAS	10000 MINNETONKA BLVD	MINNETONKA	MN	55305-4656	952.933.0843
LEIENDECKER	TERRENCE	10000 MINNETONKA BLVD	MINNETONKA	MN	55305-4656	952.563.1215
ROHLFING	FRIEDRICH	10000 MINNETONKA BLVD	MINNETONKA	MN	55305-4656	952.746.9453
ZIMMERMAN	LINDA	10159 WAYZATA BLVD STE 200	MINNETONKA	MN	55305-1581	952.255.6470
OSENDORF	MATTHEW	10159 WAYZATA BLVD STE 200	MINNETONKA	MN	55305-1581	651.225.1200
MC CARNEY	KEITH	1030 E BRIDGE ST	REDWOOD FALLS	MN	56283-1806	507.637.5272
CRAIG	MICHAEL	104 JEFFERSON ST	WADENA	MN	56482-0311	218.631.4096
CRAIG	MARIAN	104 JEFFERSON ST S	WADENA	MN	56482-1546	218.631.4096
GRUBER	JOHN	108 S LAKESHORE DR PO BOX 309	LAKE CITY	MN	55041-0309	651.345.4378
MICKELSON	BRIAN	10810 OLD COUNTY ROAD 15	PLYMOUTH	MN	55441-6107	763.703.5580
SILBAUGH	DALE	10810 OLD COUNTY ROAD 15	PLYMOUTH	MN	55441-6107	763.703.5575
DAVISSON	TIMOTHY	10900 WAYZATA BLVD STE 150	MINNETONKA	MN	55305-5574	952.835.8193
JIRAK	TIMOTHY	10900 WAYZATA BLVD STE 150	MINNETONKA	MN	55305-5574	952.746.9447
LANG	REESE	10900 WAYZATA BLVD STE 150	MINNETONKA	MN	55305-5574	952.746.9444
CARRIER	MATTHEW	1135 WASHINGTON AVE STE 103	DETROIT LAKES	MN	56501-3440	218.847.2676
VELZKE	DEAN	120 N CEDAR ST	OWATONNA	MN	55060-2304	507.451.2455
BENEKE	ARNE	121 W MAIN ST	CALEDONIA	MN	55921-1290	507.725.2864
SKOGRAND	COREY	122 N 3RD ST	MARSHALL	MN	56258-1325	507.532.2219
GWIAZDON	EDWARD	12425 55TH ST N STE C	LAKE ELMO	MN	55042-7404	651.689.2004
SWOBODA	BOBBY	12725 43RD ST NE STE 103	SAINT MICHAEL	MN	55376-4928	763.497.5578
BATES	JAMES	12900 WHITEWATER DR STE 101	MINNETONKA	MN	55343-9407	952.746.9471
DORSEY	MICHAEL	131 BABCOCK BLVD W STE 2 PO BOX 343	DELANO	MN	55328-0343	763.999.7950
REID	MINDY	13100 WAYZATA BLVD STE 140	HOPKINS	MN	55305-1801	612.225.2597
MAX	MARCUS	134 MAIN ST S	HUTCHINSON	MN	55350-2507	320.587.9379
GUGGEMOS	DON	151 MAIN AVE W PO BOX 185	WINSTED	MN	55395-0185	320.485.4332
PALEN	ADAM	1530 GREENVIEW DR SW STE 205	ROCHESTER	MN	55902-4327	507.208.4711
STEPHAN	JAMES	1530 GREENVIEW DR SW STE 205	ROCHESTER	MN	55902-4327	507.287.6160
SCHALL	MICHAEL	16180 HIGHWAY 7	MINNETONKA	MN	55345-3403	952.835.8191
CONDIFF	RICHARD	17 E CENTENNIAL 84 DR STE E	NEW YORK MILLS	MN	56567-4320	218.385.3020
GEHRKE	STEVEN	17305 CEDAR AVE S STE 220	LAKEVILLE	MN	55044-3910	651.221.0711

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Last	First	Address	City	State	ZIP Code	Bus Phone
CARRIAR	BARCLAY	1765 ROOSEVELT RD	SAINT CLOUD	MN	56301-2207	320.654.6715
KRUCHTEN	PATRICK	1765 ROOSEVELT RD	SAINT CLOUD	MN	56301-2207	320.654.6715
FJOSNE	GRANT	1907 WAYZATA BLVD E STE 350	WAYZATA	MN	55391-2081	952.893.7969
LEWIS	JAMES	1930 PREMIER DR	MANKATO	MN	56001-5900	507.625.9050
JAMES	ANTHONY	1930 PREMIER DR	MANKATO	MN	56001-5900	507.625.9050
WALTER	KEVIN	203 2ND ST NE	WASECA	MN	56093-2903	507.835.7080
TRACY	LEE	205 8TH AVE SE	PIPESTONE	MN	56164-2120	507.825.3585
EIDE	JASON	208 BROADWAY N	CARVER	MN	55315-4407	952.448.6455
EIDE	ERIK	208 BROADWAY N	CARVER	MN	55315-4407	952.448.6455
REHER	JASON	211 NW FIRST AVENUE	FARIBAUT	MN	55021-6149	507.334.1821
WINTERFELDT	NEIL	220 MAIN AVE PO BOX 71	GAYLORD	MN	55334-0071	507.237.2132
KOCH	GREGG	222 E MAIN ST	ALBERT LEA	MN	56007-2977	507.377.3671
PANZER	DANNY	222 E MAIN ST	ALBERT LEA	MN	56007-2977	507.377.2204
KACH	SUZANNE	222 E MAIN STREET	ALBERT LEA	MN	56007-2977	507.377.3671
GUPTA	VINOD	230 W SUPERIOR ST STE 436	DULUTH	MN	55802-1916	218.464.4178
THEISEN	STEVEN	2431 IMPERIAL DR	SAINT CLOUD	MN	56301-5061	320.230.3026
SAIKI	ZACHARY	2774C COMMERCE DR NW	ROCHESTER	MN	55901-2864	507.322.3650
HOFFMAN	MICHAEL	2774C COMMERCE DR NW	ROCHESTER	MN	55901-2864	507.206.5086
BUSSIAN	DENNIS	2774C COMMERCE DR NW	ROCHESTER	MN	55901-2864	507.322.3648
LEX	KAROLIN	281-A S MAIN ST	ZUMBROTA	MN	55992-1578	507.732.7335
EWING	GINGER	2918 UPPER 55TH ST	INVER GROVE	MN	55076-1673	651.219.5050
GERTEN	JAMES	2918 UPPER 55TH ST	INVER GROVE HTS	MN	55076-1673	651.552.1172
KAESS	ASHLIE	3169 FERNBROOK LN N	PLYMOUTH	MN	55447-5357	612.216.4111
FURLONG	PATRICK	320 E HOWARD ST	HIBBING	MN	55746-1746	218.262.5207
KOVACICH	JO	320 E HOWARD ST	HIBBING	MN	55746-1746	218.262.5207
MANCELL	JOSHUA	3200 MAIN STREET NW STE 110	COON RAPIDS	MN	55448-1161	612.338.4251
WIEGE	KRISTOPHER	3200 MAIN STREET NW SUITE 110	COON RAPIDS	MN	55448-1161	763.355.5547
PLANK	JASON	3601 MINNESOTA DR STE 905	EDINA	MN	55435-5335	952.841.7500
AGGEN	ELWIN	362 OXFORD ST STE 2	WORTHINGTON	MN	56187-1766	507.295.3334
LABELLE	MICHAEL	3900 NORTHWOODS DR STE 150	ARDEN HILLS	MN	55112-6991	612.889.7465
BOLLUM	MARK	422 S MINNESOTA AVE	ST PETER	MN	56082-2506	507.934.5510
ANGEL	JEFFREY	4647 WHITE BEAR PKWY	WHITE BEAR LAKE	MN	55110-3300	651.429.6220
MISIEWICZ	BRIAN	5 N 3RD AVE W STE 402	DULUTH	MN	55802-1614	218.481.7277
SODERSTROM	STEPHEN	500 W 79TH ST STE 100	CHANHASSEN	MN	55317-8312	952.388.6550
GAGNON	MICHAEL	501 STATE HWY 25	MONTICELLO	MN	55362-8662	763.271.7526
STACKEN	DONNA	510 FAXON RD N PO BOX 534	NORWOOD YA	MN	55368-0534	952.467.3061
WICHMANN	JEAN	512 W HIGH ST	SPRING VALLEY	MN	55975-1320	507.346.2727
BARTEL	DANIEL	550 MAIN ST STE 210	NEW BRIGHTON	MN	55112-3274	651.789.3791
SWARTZ	AARON	550 MAIN ST STE 210	NEW BRIGHTON	MN	55112-3274	651.789.8619
DOROFF	RANDY	5775 WAYZATA BLVD STE 880	MINNEAPOLIS	MN	55416-1221	763.367.7980
ANDERSON	GREGORY	624 CENTRAL AVE STE 1	OSSEO	MN	55369-1166	763.898.3328
ANDERSON	CHRISTOPHER	624 CENTRAL AVE STE 1	OSSEO	MN	55369-1166	763.898.3328
LEWIS	PETER	683 BIELENBERG DRIVE STE 206	WOODBURY	MN	55125-1715	651.330.4517
RUNCK	RUSSELL	703 11TH ST E	GLENCOE	MN	55336-2220	320.864.6565
RICE	STEVEN	703 E RIPLEY ST	LITCHFIELD	MN	55355-2414	612.225.2600
LAWRENCE	JILL	703 E RIPLEY STREET	LITCHFIELD	MN	55355-2414	888.354.7271
LEE	THOMAS	7100 NORTHLAND CIR N STE 303	BROOKLYN PARK	MN	55428-1500	763.657.2404
MEANY	JULIE	7101 YORK AVE S STE 200	EDINA	MN	55435-4556	952.921.4969
POKLADNIK	CHARLES	7101 YORK AVE S STE 200	EDINA	MN	55435-4556	952.921.4966
KAUL	VIVEK	7101 YORK AVE S STE 200	EDINA	MN	55435-4556	952.921.4960
JACOBSON	MATTHEW	7101 YORK AVE S STE 200	EDINA	MN	55435-4556	952.921.3375
BURNETT	MARIE	7101 YORK AVE S STE 330	EDINA	MN	55435-4428	952.921.3371
RAMIREZ	RAYMOND	7101 YORK AVE S SUITE 320	EDINA	MN	55435-4502	952.466.1239
PONTO	MICHAEL	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1805
GLOOD	MICHELLE	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.251.1971
NORINE	MARK	7212 METRO BLVD	EDINA	MN	55439-2128	952.746.9452
KINDRICK	WARREN	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
HEATH	JASON	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
WERNER	TIMOTHY	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
DWORSKY	RICHARD	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
KOSEN	BARTON	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
KLEY	MATTHEW	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
ROLOFF	CHRISTOPHER	7212 METRO BLVD	EDINA	MN	55439-2128	952.446.7800
HAFENBRACK	KASEY	750 MAIN ST STE 211	MENDOTA HEIGHTS	MN	55118-3768	952.378.2165
WELTER	LOU	7601 FRANCE AVE S STE 600	EDINA	MN	55435-5971	952.857.1280
YOUNG	MICHELLE	7601 FRANCE AVE S STE 600	EDINA	MN	55435-5971	952.857.1487
STURGIS	MICHAEL	7601 FRANCE AVE S STE 620	EDINA	MN	55435-5968	952.486.4237
DAWSON	DEAN	7650 EDINBOROUGH WAY STE 225	EDINA	MN	55435-5921	952.646.1610
LUXEM	THOMAS	7650 EDINBOROUGH WAY STE 225	EDINA	MN	55435-5921	952.893.7968
GREER	MATTHEW	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	952.746.9467
MUSCHENHEIM	DAVID	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	952.446.4215
HOBART	MIRIAM	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	952.921.8522
OLSON	DAVID	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	763.543.5172
BILLE	KEVIN	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	952.893.7976
MACDONALD	BRIAN	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	952.893.7966
AUCKENTHALER	BENJAMIN	7650 EDINBOROUGH WAY SUITE 225	EDINA	MN	55435-5921	952.746.9456
RAY	ROBERT	7701 FRANCE AVE S STE 475	EDINA	MN	55435-3210	952.857.1308
MADDEN	CHRIS	776 NORTH CREEK DR STE 4	WILLMAR	MN	56201-3580	320.235.5600
HEILING	DUANE	800 E BRIDGE ST PO BOX 422	REDWOOD FALLS	MN	56283-0422	507.627.2639
SUNDBERG	THOMAS	800 OAK ST	HASTINGS	MN	55033-2361	651.438.8696

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Last	First	Address	City	State	ZIP Code	Bus Phone
THULEEN	SCOTT	8325 WAYZATA BLVD STE 100	GOLDEN VALLEY	MN	55426-1399	763.543.5196
KERKOW	NATHAN	84 3RD ST NW	FOREST LAKE	MN	55025-1114	651.464.9741
SCHNEIDER	KATHY	8400 NORMANDALE LAKE BLVD STE 920	BLOOMINGTON	MN	55437-3843	952.921.2161
PITZ	JOHN	854 W 78TH ST STE 200 PO BOX 820	CHANHASSEN	MN	55317-0820	952.949.6630
GETSCH	DANIEL	8621 EAGLE POINT BLVD	LAKE ELMO	MN	55042-8628	651.578.1019
KLASSE	KAY	8935 33RD ST N STE 2	LAKE ELMO	MN	55042-9209	651.747.8200
ROY	PAUL	922 HIGHWAY 33 S	CLOQUET	MN	55720-2624	218.879.6784
MUNSON	PAUL	922 HIGHWAY 33 S	CLOQUET	MN	55720-2624	218.879.6784
SWENSON	CRAIG	922 HIGHWAY 33 S	CLOQUET	MN	55720-2624	218.879.6784
HARRIS	DANIEL	9362 OAK AVE	WACONIA	MN	55387-9422	952.841.8159
WALL	STEVEN	959 OLD HWY 8	NEW BRIGHTON	MN	55112-2795	651.255.1401
REAMER	JOHN	959 OLD HWY 8	NEW BRIGHTON	MN	55112-2795	651.251.1964
DOBSON	JEREMY	959 OLD HWY 8	NEW BRIGHTON	MN	55112-2795	651.251.1968
MORE	DEREK	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1719
BEZDICHEK	WILLIAM	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	239.592.0840
PIDEL	CHRISTOPHER	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1897
WILLS	BETH	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1705
MURRAY	SHAWN	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1808
RUSLER	GLENN	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.765.7034
BESTER	FREDERICK	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1865
JOHNSON	TODD	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.635.1822
HASPERT	PATRICK	715 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2732	651.697.1550
DE LA ROSA	BERNARD	7601 FRANCE AVE S STE 600	EDINA	MN	55435-5971	952.857.1242
BENZINGER	LONNIE	817 BROADWAY ST	ALEXANDRIA	MN	56308-1856	320.762.8141
BENZINGER	VICTOR	817 BROADWAY ST	ALEXANDRIA	MN	56308-1856	320.762.8141
STEIDL	SAM	817 BROADWAY ST	ALEXANDRIA	MN	56308-1856	320.762.8141
MCGINNIS	SHANNON	959 OLD HWY 8 NW	NEW BRIGHTON	MN	55112-2795	651.251.1972
SMITH	STUART	STE 101	BURNSVILLE	MN	55337-1649	952.808.5435
SCHAUM	ELISA	STE 110	COON RAPIDS	MN	55448-1161	763.712.1655
STORRAR	BRETT	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7030
LE VESSEUR	CRAIG	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7042
MURPHY	MICHAEL	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7041
JAREMKO	THOMAS	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7027
HACHFELD	JON	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7028
LOVSTAD	DANIEL	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7038
MELBY	BRADLEY	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7035
LEBAHN	JAMES	STE 150	ARDEN HILLS	MN	55112-6991	651.765.7040
GANS	LANE	STE 195	EAGAN	MN	55121-1519	651.256.6044
HENNEN	BRUCE	STE 195	EAGAN	MN	55121-1519	651.256.6006
KRAMER	RANDALL	STE 201	AUSTIN	MN	55912-3478	507.437.3523
WHITE	JASON	STE 900	BLOOMINGTON	MN	55431-4424	952.835.8190
GROFF	RANDY	BLDG 2 STE 10 408 E MAIN ST	MARSHALL	MN	56258-2665	507.532.2210
MAKI	ADAM	KENOSHA STE 2 1204 HARMON PL	MINNEAPOLIS	MN	55403-1951	612.940.6945
KUEHNER	KYLE	PO BOX 337 212 LADY SLIPPER AVE NE STE 1	NEW PRAGUE	MN	56071-0337	952.758.6363
RYPKEMA	GINA	PO BOX 472 1202 1ST ST E	PARK RAPIDS	MN	56470-0472	218.732.8861
EHLERINGER	RANDALL	STE 100 4115 26TH ST NW	ROCHESTER	MN	55901-8340	507.281.4341
STRAND MARQUEZ	JEANNINE	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5162
RUED	CHARLOTTE	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5189
METZGER	MICHAEL	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5150
WOLFE	THOMAS	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5155
HAGAN	PATRICK	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5157
SORENSEN	BRADLEE	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5164
WHEATON	PAUL	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5195
FOX	THOMAS	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5160
JANZEN	JEFFREY	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.543.5173
HOWE	MICHAEL	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN	55426-1399	763.233.0301
MAIERS	JOHN	STE 101 12280 NICOLLET AVE	BURNSVILLE	MN	55337-1999	952.808.5442
RUHLAND	TIMOTHY	STE 101 12280 NICOLLET AVE	BURNSVILLE	MN	55337-1999	952.808.5450
MULLINS	GENE	STE 101 12280 NICOLLET AVE S	BURNSVILLE	MN	55337-1999	952.808.5422
ASENBRENNER	THOMAS	STE 101 12280 NICOLLET AVE S	BURNSVILLE	MN	55337-1999	952.808.5425
SHANNON	WILLIAM	STE 101 12280 NICOLLET AVE S	BURNSVILLE	MN	55337-1999	952.808.5423
BECK	MATTHEW	STE 101 12900 WHITEWATER DR	MINNETONKA	MN	55343-9407	952.856.8110
BESTE	JAMES	STE 101 30 25TH AVE S	SAINT CLOUD	MN	56301-4083	320.230.1710
HALVERSON	BRODY	STE 103 105 S GARFIELD ST	CAMBRIDGE	MN	55008-1767	763.689.5686
BOUTS	MATTHEW	STE 104 15600 WAYZATA BLVD	WAYZATA	MN	55391-1434	952.767.2439
WAYNE	BRANDON	STE 104 1850 AUSTIN RD	OWATONNA	MN	55060-4498	507.451.3598
SWANSON	ERIK	STE 105 630 ROOSEVELT RD	SAINT CLOUD	MN	56301-6368	320.230.1100
SWANSON	MICHAEL	STE 105 630 ROOSEVELT RD	SAINT CLOUD	MN	56301-6368	320.230.1100
MEDIN	JASON	STE 108 8646 EAGLE CREEK CIR	SAVAGE	MN	55378-1572	952.746.1647
PORTER	THOMAS	STE 109 4900 HIGHWAY 169 N	NEW HOPE	MN	55428-4032	763.710.7649
HARRIS	ROBERT	STE 110 3200 NW MAIN ST	COON RAPIDS	MN	55448-1161	763.712.9428
MILLER-HAMMES	JODI	STE 111 1530 GREENVIEW DR SW	ROCHESTER	MN	55902-1080	507.289.0737
FORLITI	NICHOLAS	STE 111 1530 GREENVIEW DR SW	ROCHESTER	MN	55902-1080	507.289.0737
DROLSON	DAVID	STE 120 179 LAKE ST S	FOREST LAKE	MN	55025-2645	651.464.6713
STROOT	SCOTT	STE 150 13782 BLUESTEM CT	BAXTER	MN	56425-8775	218.829.4131
YORK	ROBERT	STE 150 3900 NORTHWOODS DR	ARDEN HILLS	MN	55112-6991	651.765.7056
HAMPL	CHRISTOPHER	STE 150 3900 NORTHWOODS DR	ARDEN HILLS	MN	55112-6991	651.635.1774
THURIN	CHRISTOPHER	STE 160 3601 W 76TH ST	EDINA	MN	55435-3005	952.841.8123
MAES	MARK	STE 160 3601 W 76TH ST	EDINA	MN	55435-3005	952.841.8128
THURIN	GREGORY	STE 160 3601 W 76TH ST	EDINA	MN	55435-3005	952.841.8125

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MILBRATH	DOUGLAS	STE 160 3601 W 76TH ST	EDINA	MN	55435-3005	952.841.8168
DREGER	JASON	STE 160 405 BABCOCK BLVD E	DELANO	MN	55328-9145	763.972.8722
MAX	KEVIN	STE 160 405 BABCOCK BLVD E	DELANO	MN	55328-9145	763.972.8722
JANSON	WILLIAM	STE 2 1401 8TH ST S	MOORHEAD	MN	56560-3606	701.235.4171
CHEELEY	MARK	STE 200 10159 WAYZATA BLVD	MINNETONKA	MN	55305-1581	952.449.6693
WALSH	SCOTT	STE 200 10159 WAYZATA BLVD	MINNETONKA	MN	55305-1581	952.444.2002
DORNIK	MATTHEW	STE 200 10159 WAYZATA BLVD	MINNETONKA	MN	55305-1581	952.444.2004
MARTIN	CHERYL	STE 200 301 N MADDY ST	MCGREGOR	MN	55760-0038	218.768.3339
DEWITZ	SCOTT	STE 200 3147 SUPERIOR DR NW	ROCHESTER	MN	55901-2973	507.289.5670
JOERN	MARK	STE 200 555 NICOLLET MALL	MINNEAPOLIS	MN	55402-1067	612.746.5300
GRAY	WALTER	STE 200 7101 YORK AVE S	EDINA	MN	55435-4556	952.921.4970
RUHL	MARK	STE 200 7658 DESIGN RD	BAXTER	MN	56425-8788	218.825.8842
THOEN	GREGORY	STE 201 329 N MAIN ST	AUSTIN	MN	55912-3478	507.437.3523
BINGEN	CRAIG	STE 204 3515 PLYMOUTH BLVD	PLYMOUTH	MN	55447-1382	763.543.5140
GILLESPIE	WENDY	STE 204 3515 PLYMOUTH BLVD	PLYMOUTH	MN	55447-1382	763.543.5183
PALEN	STEPHEN	STE 205 1530 GREENVIEW DR SW	ROCHESTER	MN	55902-4327	507.208.4711
NILSEN	RICHARD	STE 208 683 BIELENBERG DR	WOODBURY	MN	55125-1715	651.578.1272
TAUBE	MICHAEL	STE 208 683 BIELENBERG DR	WOODBURY	MN	55125-1715	651.730.2479
ESCH	MICHAEL	STE 210 4570 CHURCHILL ST	SHOREVIEW	MN	55126-2274	651.403.8907
TOLLANDER	MARK	STE 210 4570 CHURCHILL ST	SHOREVIEW	MN	55126-2274	651.403.8903
LAWLESS	FRED	STE 210 4570 CHURCHILL ST	SHOREVIEW	MN	55126-2274	651.403.8901
HOEN	ANN	STE 210 4570 CHURCHILL ST	SHOREVIEW	MN	55126-2274	651.403.8905
ESCH	JORDAN	STE 210 4570 CHURCHILL ST	SHOREVIEW	MN	55126-2274	651.403.8907
MURPHY	ANDREA	STE 210 550 MAIN ST	NEW BRIGHTON	MN	55112-3274	651.789.2914
MANNING	BRETT	STE 210 550 MAIN ST	NEW BRIGHTON	MN	55112-3274	651.789.3793
JOSEWSKI	GREGORY	STE 215 11671 FOUNTAINS DR	MAPLE GROVE	MN	55369-4788	763.416.1211
HARDER	BRADLEY	STE 215 11671 FOUNTAINS DR	MAPLE GROVE	MN	55369-4788	763.416.8213
CROSLAND	JOHN	STE 215 11671 FOUNTAINS DR	MAPLE GROVE	MN	55369-4788	763.416.8225
BAUERLY	JASON	STE 215 11671 FOUNTAINS DR	MAPLE GROVE	MN	55369-4788	763.488.9595
SCHNEIDER	ANDREW	STE 215 11671 FOUNTAINS DR N	MAPLE GROVE	MN	55369-4788	763.416.8216
FARNIOK	DANIEL	STE 220 10405 6TH AVE N	PLYMOUTH	MN	55441-6392	763.543.5187
PETERSEN	AARON	STE 220 10405 6TH AVE N	PLYMOUTH	MN	55441-6392	763.543.5186
JOHNSON	CURTIS	STE 220 10405 6TH AVE N	PLYMOUTH	MN	55441-6392	763.543.5185
FAUST	CLINTON	STE 220 10405 6TH AVE N	PLYMOUTH	MN	55441-6392	763.543.5182
GABRIEL	MARK	STE 230 3200 MAIN ST NW	COON RAPIDS	MN	55448-1163	763.421.3848
MYERS	JEFFREY	STE 280 10880 175TH CT W	LAKEVILLE	MN	55044-7701	651.460.2040
HUMPHREY	THOMAS	STE 300 19021 FREEPORT ST	ELK RIVER	MN	55330-1282	763.441.7504
PAWELK	REED	STE 300 19021 FREEPORT ST	ELK RIVER	MN	55330-1282	763.441.7504
FERGUSON	ANDREW	STE 310 420 SUMMIT AVE	SAINT PAUL	MN	55102-4680	651.221.0720
MERRIMAN	STEPHEN	STE 320 4900 HIGHWAY 169 N	NEW HOPE	MN	55428-4048	763.710.7904
NAUSS	SUE	STE 320 7101 YORK AVE S	EDINA	MN	55435-4502	952.921.3257
SCHWARTZ	BRIAN	STE 350 1907 WAYZATA BLVD	WAYZATA	MN	55391-2081	612.702.2432
JAKUBIK	MARGARET	STE 350 1907 WAYZATA BLVD	WAYZATA	MN	55391-2081	952.449.6686
BENWAY	MICAH	STE 350 1907 WAYZATA BLVD E	WAYZATA	MN	55391-2081	952.449.6690
ELY	JOSHUA	STE 390 3300 EDINBOROUGH WAY	EDINA	MN	55435-6025	952.255.6222
SCHAAF	JAMES	STE 4 525 LEGION DR	MONTEVIDEO	MN	56265-1723	320.269.9100
WOELFLE	LLOYD	STE 475 7701 FRANCE AVE S	EDINA	MN	55435-3210	952.841.8115
KNAPP	WILLIAM	STE 475 7701 FRANCE AVE S	EDINA	MN	55435-3210	952.841.8117
KUPLIC	DANIEL	STE 475 7701 FRANCE AVE S	EDINA	MN	55435-3210	952.841.8106
MILLER	LANCE	STE 501 14985 GLAZIER AVE	APPLE VALLEY	MN	55124-7852	952.431.8482
JAROS	ROYAL	STE 501 14985 GLAZIER AVE	APPLE VALLEY	MN	55124-7852	952.431.6410
LEMENOWSKY	STEPHANIE	STE 505 394 LAKE AVE S	DULUTH	MN	55802-2340	218.722.4761
LANE	JASON	STE 550 3600 MINNESOTA DR	EDINA	MN	55435-7925	952.300.2332
MATTSON	TYLER	STE 550 3600 MINNESOTA DR	EDINA	MN	55435-7925	952.300.2303
MULCARE	LISA	STE 550 3600 MINNESOTA DR	EDINA	MN	55435-7925	952.300.2310
RYAN	MICHAEL	STE 550 3600 MINNESOTA DRIVE	EDINA	MN	55435-7925	952.300.2323
ROSVOLD	STEVEN	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.857.1279
HANSON	ROY	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.857.1331
BOOS	BRETT	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.857.1224
CADLE	LESLIE	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.374.5501
JOHNSON	DARYL	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.857.1264
BIEKKOLA	TIMOTHY	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.486.4206
VANDERSALL	MARK	STE 600 7601 FRANCE AVE S	EDINA	MN	55435-5971	952.857.1246
CRAIG	GAVIN	STE 620 1700 W HWY 36	ROSEVILLE	MN	55113-4102	651.636.7138
MAEYAERT	SCOTT	STE 620 7601 FRANCE AVE S	EDINA	MN	55435-5968	952.857.1280
KURTH	TROY	STE 630 7601 FRANCE AVE S	EDINA	MN	55435-5968	952.857.1274
BUTNER	LANCE	STE 630 7601 FRANCE AVE S	EDINA	MN	55435-5968	952.857.1230
ALESHIRE	JASON	STE 648B 600 TWELVE OAKS CENTER DR	WAYZATA	MN	55391-4546	952.473.0324
THEIS	MARK	STE 800 1275 RAMSEY ST	SHAKOPEE	MN	55379-3132	952.641.6275
PAWLOWSKI	KARL	STE 800 1275 RAMSEY ST	SHAKOPEE	MN	55379-3132	952.641.5275
ERICKSON	BEAU	STE 900 227 W 1ST ST	DULUTH	MN	55802-1927	218.722.9400
HJORT	CONRAD	STE 900 227 W 1ST ST	DULUTH	MN	55802-1927	218.722.9400
HALL	RICHARD	STE 900 227 W 1ST ST	DULUTH	MN	55802-1927	218.722.9400
AUERBACH	DAVID	STE 905 3601 MINNESOTA DR	EDINA	MN	55435-5335	952.841.7100
PRATHIPATI	SHARMILA	STE 905 3601 MINNESOTA DR	EDINA	MN	55435-5335	952.835.4008
LEDBETTER	JAMES	STE A 12435 55TH ST N	LAKE ELMO	MN	55042-4434	651.689.2000
STAPLES	BROOKS	STE A 2451 15TH ST NW	NEW BRIGHTON	MN	55112-5593	651.478.4344
KLOUBEC	MICHAEL	STE A 9240 STATE HWY 25 NE	MONTICELLO	MN	55362-3362	763.295.3275
BASTEN	KENNETH	STE A 9240 STATE HWY 25 NE	MONTICELLO	MN	55362-3362	763.295.3275
WALES	ISAAC	STE B 18200 45TH AVE N	PLYMOUTH	MN	55446-4549	763.432.4604

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STELLA	DANIEL	STE B 18200 45TH AVE N	PLYMOUTH	MN	55446-4549	763.432.4623
TURGEON	BRADLEY	STE C 44 LAKE ST S	FOREST LAKE	MN	55025-4400	651.464.9773
PARKER	SETH	SUITE 101 12900 WHITEWATER DRIVE	MINNETONKA	MN	55343-9407	952.856.8110
OSADCKY	BARBARA	SUITE 200 7101 YORK AVE S	EDINA	MN	55435-4556	952.921.4964
URE	MARY	SUITE G LOWER LEVEL 3181 FERNBROOK LN N	PLYMOUTH	MN	55447-5320	763.657.2402
KOY	PUNNARIN	UNIVERSITY CLUB 3RD FL 420 SUMMIT AVE	SAINT PAUL	MN	55102-4680	651.221.0721
ABEL	CHAD	109 CHESTERFIELD BUSINESS PKWY	CHESTERFIELD	MO	63005-1233	636.536.2673
BURKE	MATTHEW	109 CHESTERFIELD BUSINESS PKWY	CHESTERFIELD	MO	63005-1233	636.536.2673
MATHEWS	MICHAEL	117 COPPERSMITH CT	SAINT CHARLES	MO	63301-7403	636.916.3039
WILSON	JENNIFER	12400 OLIVE BLVD STE 307	SAINT LOUIS	MO	63141-5437	314.744.4007
STIEGEMEIER	BRADLEY	12400 OLIVE BLVD STE 307	SAINT LOUIS	MO	63141-5437	314.744.4007
MEYER	JEFFERY	12935 N 40 DR STE 108	SAINT LOUIS	MO	63141-8652	314.858.1114
SIERAWSKI	MARCUS	12935 N 40 DR STE 108	SAINT LOUIS	MO	63141-8652	314.858.1114
BARBEY	JENNIFER	14540 MANCHESTER RD	MANCHESTER	MO	63011-3959	314.310.5001
HATTEN	BENNETT	16305 SWINGLEY RIDGE RD STE 20	CHESTERFIELD	MO	63017-1714	314.336.4330
SOUHRADA	TIMOTHY	2638 HIGHWAY 109 STE 201	WILDWOOD	MO	63040-1161	636.422.1455
SORENSEN	VALERIE	300 FIRST EXECUTIVE AVE STE D	SAINT PETERS	MO	63376-1655	636.405.5002
KNARR	JOSEPH	300 FIRST EXECUTIVE AVE STE D	ST PETERS	MO	63376-1655	636.405.5008
HAVERSTICK	WILLIAM	300 FIRST EXECUTIVE AVE STE D	SAINT PETERS	MO	63376-1655	636.405.5007
SWITZER	RICHARD	32855 LASER DR	MARCELINE	MO	64658-1388	660.376.4488
HENRY	JASON	3645 W INDUSTRIAL DR	LOUISIANA	MO	63353-3868	573.754.6352
ANDERSON	ELDON	4700 S CEDAR CREST CT	INDEPENDENCE	MO	64055-6991	816.373.1068
KLEPPE	KORY	562 MAPLE VALLEY DR	FARMINGTON	MO	63640-1981	573.756.1500
WARD	ELI	5901 NW 63RD TER STE 130	KANSAS CITY	MO	64151-3601	816.741.9100
CARVER	DANIEL	690 ROZIER ST	STE GENEVIEVE	MO	63670-1807	573.883.9300
MYERS	RICHARD	701 E 63RD ST FL 3RD STE B	KANSAS CITY	MO	64110-3305	913.451.3848
WRIGHT	JEAN	800 N COMMERCIAL AVE	SAINT CLAIR	MO	63077-1168	314.638.7174
BULGARELLI	ANGELA	825 MARYVILLE CENTRE DR STE 210	CHESTERFIELD	MO	63017-5942	314.744.3475
FLOEH	DAVID	9859 BIG BEND BLVD STE 105	SAINT LOUIS	MO	63122-6581	314.720.2165
FICHTER	NICHOLAS	9859 BIG BEND BLVD STE 105	SAINT LOUIS	MO	63122-6581	314.720.2164
STEURER	JOHN	9859 BIG BEND BLVD STE 105	SAINT LOUIS	MO	63122-6581	314.614.7371
SCHENEWERK	DALE	1503 E ILLINOIS ST	KIRKSVILLE	MO	63501-3203	660.665.3899
JOHNSON	PHILLIP	BRADFORD PL EXEC SUITES 210-3				
		1531 E BRADFORD PKWY	SPRINGFIELD	MO	65804-6853	417.881.6300
MURRAY	SETH	GREAT SOUTHERN FINANCIAL SVCS				
		1342 E KINGSLEY ST STE E	SPRINGFIELD	MO	65804-7227	417.881.9200
PENNEY	RON	GREAT SOUTHERN FINANCIAL SVCS				
		1342 E KINGSLEY ST STE E	SPRINGFIELD	MO	65804-7227	417.881.9200
CZERWONKA	DEBORAH	STE 1001 1730 FENPARK DR	FENTON	MO	63026-2920	636.660.0434
MARIANI	KAREN	STE 106 128 ENCHANTED PKWY	MANCHESTER	MO	63021-5497	314.520.9616
DEITCH	PHILIP	STE 110 10825 WATSON RD	SUNSET HILLS	MO	63127-1031	314.843.6769
FULLER	JERRY	STE 130 5901 NW 63RD TERR	KANSAS CITY	MO	64151-3601	816.997.9780
SLAVIK	GARY	STE 200 16024 MANCHESTER RD	ELLISVILLE	MO	63011-2195	636.779.2525
MAC DONALD	ROBERT	STE 201 16305 SWINGLEY RIDGE RD	CHESTERFIELD	MO	63017-1777	314.336.4330
REYNOLDS	JASON	STE 210 825 MARYVILLE CENTRE DR	CHESTERFIELD	MO	63017-5942	314.446.0434
GRENA	BRIAN	STE 210 825 MARYVILLE CENTRE DR	CHESTERFIELD	MO	63017-5942	314.446.0442
ADAIR	STEPHEN	STE 210 825 MARYVILLE CTR DR	CHESTERFIELD	MO	63017-5942	314.446.0432
HUGHES	MICHAEL	STE 210 825 MARYVILLE CTR DR	CHESTERFIELD	MO	63017-5942	314.446.0423
REYNOLDS	TOM	STE 210 825 MARYVILLE CTR DR	CHESTERFIELD	MO	63017-5942	314.446.0435
WAYNICK	DAVID	STE 220 622 EMERSON RD	SAINT LOUIS	MO	63141-6727	314.576.2111
BURKE	JOHN	STE 302 118 N 2ND ST	SAINT CHARLES	MO	63301-2877	636.940.5409
HALE	RICHARD	STE 401 901 E ST LOUIS ST	SPRINGFIELD	MO	65806-2525	417.866.9663
REHANI	JOHN	STE A 1524 E PRIMROSE ST	SPRINGFIELD	MO	65804-7915	417.881.9099
HARTUNG	JAMES	STE B 1214 E CHAMP CLARK DR	BOWLING GREEN	MO	63334-2363	573.324.6777
GRIFFIS	JENNIFER	STE B 1807 N WOODBINE RD	SAINT JOSEPH	MO	64506-4892	816.233.9403
DOUGHERTY	PAULA	STE B-115 1525 E REPUBLIC RD	SPRINGFIELD	MO	65804-6578	417.877.0252
BEAUDOIN	JOHN	STE D 300 FIRST EXECUTIVE AVE	ST PETERS	MO	63376-1655	636.405.5007
MAHMUD	SYED	SUITE 201 16305 SWINGLEY RIDGE DR	CHESTERFIELD	MO	63017-1777	314.336.4330
MONSERRATE	EDWARD	THE HAMMONS TOWER STE 401				
		901 E ST LOUIS ST	SPRINGFIELD	MO	65806-2523	417.866.9663
MAC KENZIE	ROBERT	106 E WASHINGTON ST	KOSCIUSKO	MS	39090-3744	662.289.1013
PROAPS	SUSAN	128 S 1ST ST	BROOKHAVEN	MS	39601-3317	601.833.8866
JOHNSON	FORREST	319 MAIN STREET	NATCHEZ	MS	39120-3461	601.442.6292
MCNEAL	CURTIS	47 LYNN LANE	STARKVILLE	MS	39759-7627	662.323.8318
JAMES	DAVID	BLDG 12 STE B 5740 GETWELL RD	SOUTHAVEN	MS	38672-7361	662.536.1955
HARTNESS	PHIL	STE 5 114 N LAFAYETTE ST	STARKVILLE	MS	39759-2957	662.323.4101
CHESNUT	ROB	STE A 337 E MAIN ST	TUPELO	MS	38804-4024	662.840.9200
NORMAN FOX	LAUREN	STE BC-11 499 GLOSTER CREEK VLG	TUPELO	MS	38801-4712	662.840.7400
MILLER	WILLIAM	STE C 11 WOODSTONE PLZ	HATTIESBURG	MS	39402-8342	601.261.2166
STEIN	PAUL	2 1ST ST E STE 1A FIRST AND MAIN BLDG	KALISPELL	MT	59901-4553	406.752.7754
OSTWALD	ELIZABETH	223 MAIN ST W STE C PO BOX 2300	THOMPSON FALLS	MT	59873-2300	406.827.6667
LOSING	JARED	2615 CONNERY WAY	MISSOULA	MT	59808-1900	406.541.2100
RIEKER	CRYSTAL	303 N BROADWAY STE 800	BILLINGS	MT	59101-1244	406.294.9294
MILKOVICH	DAVID	4200 14TH AVENUE S	GREAT FALLS	MT	59405-5558	406.799.3392
EVISON	DONNA	6070 INDUSTRIAL RD STE A	MISSOULA	MT	59808-8412	406.541.2332
SAUER	PETER	90 SUNNYBROOK LN	SOMERS	MT	59932-9730	406.756.8650
HACKMANN	SHAWN	993 S 24TH ST W STE D	BILLINGS	MT	59102-7433	406.652.6662
HARLAN	JUSTIN	993 S 24TH ST W STE D	BILLINGS	MT	59102-7433	406.827.6667
KALLEM	KENNETH	993 S 24TH STREET W STE D	BILLINGS	MT	59102-7433	406.652.6662
DRYDEN	ERIC	PO BOX 1154 1324 CENTRAL AVE W	GREAT FALLS	MT	59403-1154	406.799.5399

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Last	First	Address	City	State	ZIP Code	Bus Phone
MORRIS	CHESTER	PO BOX 16536 2615 CONNERY WAY	MISSOULA	MT	59808-6536	406.541.2100
BEIERWALTES	CHRISTOPHER	STE 312 1001 S 24TH ST W	BILLINGS	MT	59102-6467	406.867.0797
FELTON	STEVEN	108 ZEBULON COURT	ROCKY MOUNT	NC	27804-2420	252.937.6200
COLSTON	JONATHAN	108 ZEBULON COURT PO BOX 7007	ROCKY MOUNT	NC	27804-0007	252.937.6200
JOHNSON	FLOYD	111 SE RAILROAD ST	WALLACE	NC	28466	910.665.1135
DANIELS	THOMAS	118 N JAMES ST	GOLDSBORO	NC	27530-3629	919.580.7114
SOHOVICH	MARTIN	1200 S MAIN ST	WAYNESVILLE	NC	28786-2148	828.452.0494
DOOLEY	JIMMY	125 MILLSTONE DR	HILLSBOROUGH	NC	27278-8775	919.644.0202
KIDD	STEPHEN	127 N FULTON STREET	SALISBURY	NC	28144-4221	704.603.4114
DAVIDSON	ROBERT	128 MEADOWVIEW DRIVE	BOONE	NC	28607-5211	828.832.1099
WATSON	RAYMOND	13739 STEELE CREEK RD UNIT B	CHARLOTTE	NC	28273-7138	704.625.2711
BLAKEMAN	MARK	1420 WESTOVER TER STE E	GREENSBORO	NC	27408-2008	336.544.0353
BARBER	CHAD	1420 WESTOVER TER STE E	GREENSBORO	NC	27408-2008	336.545.7700
TWIDDY	DAVID	1780 HERITAGE CENTER DR STE 104	WAKE FOREST	NC	27587-9234	919.720.4980
DOBRICK	BRENDA	183 WIND CHIME CT STE 202 PO BOX 97624	RALEIGH	NC	27624-7624	919.322.4237
WALSH	JACK	1903 ASHEVILLE HWY STE E	HENDERSONVILLE	NC	28791-2168	828.513.1040
MUELLER	ULI	2520 N BEECH LANE	GREENSBORO	NC	27455-1276	336.264.6416
NASON	BRIAN	2734 HENNING DR	WINSTON-SALEM	NC	27106-4502	336.917.3263
POWELL	DAVID	286 W MILLBROOK RD	RALEIGH	NC	27609-4304	919.870.8930
PALMER	PAUL	30 HENDERSONVILLE RD STE 5	ASHEVILLE	NC	28803-2396	828.277.4106
BENGALA	JAMES	300A W ARLINGTON BLVD	GREENVILLE	NC	27834-5738	252.355.5222
TINGEN	CHARLIE	300A W ARLINGTON BLVD	GREENVILLE	NC	27834-5738	252.355.5222
COKELEY	RANDAL	310 S MAIN ST PO BOX 103	JEFFERSON	NC	28640-0103	704.987.2108
RANDALL	JONATHAN	3125 SPRINGBANK LN STE H	CHARLOTTE	NC	28226-3379	252.495.0815
WALKER	MARK	3125 SPRINGBANK LN STE H	CHARLOTTE	NC	28226-3379	704.540.9996
ARTHUR	GREGORY	3125 SPRINGBANK LN STE H	CHARLOTTE	NC	28226-3379	704.540.9913
LANCE	CARMEN	317 PEACHTREE ST	MURPHY	NC	28906-3033	828.837.2275
DEAL	BETH	318 2ND AVE NW	HICKORY	NC	28601-4944	828.324.1422
DEW	ROBERT	321 JEFFERSON STREET	WHITEVILLE	NC	28472-3601	910.642.5108
WETHERINGTON	MICHAEL	3301-A NASH ST NW	WILSON	NC	27896-1642	252.243.7118
KAHEN	HENRY	3332 BRIDGES ST STE 4	MOREHEAD CITY	NC	28557-3296	252.773.4287
OLSON	JOHN	34 2ND ST NW STE 300	HICKORY	NC	28601-6114	828.324.0127
NATION	PHILIP	3720 BENSON DRIVE	RALEIGH	NC	27609-7321	919.981.5424
CASEY	CURTIS	3980 PREMIER DR STE 110 PO BOX 6	HIGH POINT	NC	27265-8409	336.967.8197
LYALL	DAVID	3980 PREMIER DR STE 110 PO BOX 6	HIGH POINT	NC	27265-8409	336.804.8355
BAILEY	JOHN	401 N EDGEWORTH ST STE A	GREENSBORO	NC	27401-2233	336.315.9410
SMITH	DOUGLAS	401 N EDGEWORTH ST STE A	GREENSBORO	NC	27401-2233	336.315.9410
GUNTER	KEVIN	401 N EDGEWORTH STREET SUITE A	GREENSBORO	NC	27401-2233	336.315.9410
DOLE	DANIEL	40140 MORING	CHAPEL HILL	NC	27517-8079	919.698.5597
GILLEY	TAMMY	403 GILEAD RD STE K	HUNTERSVILLE	NC	28078-6814	704.607.0734
SIELATYCKI	PHILLIP	434 FAYETTEVILLE ST SUITE 1860	RALEIGH	NC	27601-3004	919.578.9014
SAVIDGE	CHARLES	4601 LAKE BOONE TRL UNIT 3A	RALEIGH	NC	27607-7518	919.510.4944
GARMAN	JAKE	6100 FAIRVIEW RD STE 1105	CHARLOTTE	NC	28210-4262	704.556.9250
BATTLE	BRIAN	6100 FAIRVIEW RD STE 1105	CHARLOTTE	NC	28210-4262	704.556.9250
BISTREICH	SHERI	642 SIGNAL HILL DRIVE EXT	STATESVILLE	NC	28625-4353	704.872.8181
PROIA	JOHN	7 CORPORATE CENTER CT STE B	GREENSBORO	NC	27408-3839	336.808.1345
BISHOP	ALEX	7930 W KENTON CIR STE 210	HUNTERSVILLE	NC	28078-1886	704.896.9985
DAVIDSON	JERI	7930 W KENTON CIR STE 210	HUNTERSVILLE	NC	28078-1886	704.987.9794
GIDLEY	JAMES	8317 SIX FORKS RD STE 105	RALEIGH	NC	27615-2105	919.366.5650
RICHARDSON	JAMES	3720 BENSON DR	RALEIGH	NC	27609-7321	919.874.0024
CARRINGTON	JAMES	3720 BENSON DR	RALEIGH	NC	27609-7321	919.874.0024
BOBO	BRYAN	STE 1105	CHARLOTTE	NC	28210-3277	704.556.9250
MOLDENHAUER	BRIAN	STE 1105	CHARLOTTE	NC	28210-3277	704.556.9250
ROBERTS	GEOFFREY	STE 1105	CHARLOTTE	NC	28210-3277	704.556.9250
SAYERS	STEPHEN	STE 300	HICKORY	NC	28601-6114	828.324.0127
VOIGHT	JOHN	STE 100 7 MAPLE LEAF DR	GREENSBORO	NC	27410-5181	336.285.0803
COOPER	JOHN	STE 100 7 MAPLE LEAF DR	GREENSBORO	NC	27410-5181	336.285.0803
ORTIZ	JASON	STE 100 7 MAPLE LEAF DRIVE	GREENSBORO	NC	27410-5181	336.285.0803
HARRIS	PHILLIP	STE 101 120 DRY AVE	CARY	NC	27511-3352	919.971.9345
OVERBY	JASON	STE 101 408 W MOUNTAIN ST	KERNERSVILLE	NC	27284-2534	336.996.2511
FISCHER	MICHAEL	STE 101 408 W MOUNTAIN ST	KERNERSVILLE	NC	27284-2534	336.993.3055
MC FARLING	MARTIN	STE 103 4917 PEIDMONT PKWY	JAMESTOWN	NC	27282-7536	336.510.1271
SHAH	IPCIT	STE 104 1611 JONES FRANKLIN RD	RALEIGH	NC	27606-3376	919.858.5600
GROOMS	NATHAN	STE 105 8319 SIX FORKS RD	RALEIGH	NC	27615-2108	919.676.3428
PURGASON	W ROGER	STE 1105 6100 FAIRVIEW RD	CHARLOTTE	NC	28210-4262	704.556.9250
DYESS	TIMOTHY	STE 115 1415 W NC HWY 54	DURHAM	NC	27707-5597	919.403.0071
NICHOLSON	ELIZABETH	STE 115 1415 W NC HWY 54	DURHAM	NC	27707-5597	919.403.0071
STEPHENS	SCOTT	STE 1860 434 FAYETTEVILLE ST	RALEIGH	NC	27601-3004	919.578.9014
UNGER	MATTHEW	STE 1860 434 FAYETTEVILLE ST	RALEIGH	NC	27601-3004	919.578.9014
WIMMER	DIANE	STE 1A 1365 WESTGATE CTR DR	WINSTON SALEM	NC	27103-2916	336.659.0172
PREVOST	KEITH	STE 200 200 S ACADEMY ST	CARY	NC	27511-3334	919.813.6140
HARTZELL	RICHARD	STE 200 200 S ACADEMY ST	CARY	NC	27511-3334	919.371.4040
MORGAN	ALAN	STE 202 183 WIND CHIME COURT	RALEIGH	NC	27624-7624	919.518.2114
GRONEWALD	TODD	STE 208 5420 WADE PARK BLVD	RALEIGH	NC	27607-4189	919.803.1425
DEIBERT	JASON	STE 208 5420 WADE PARK BLVD	RALEIGH	NC	27607-4189	919.803.2259
MUSE	EDWARD	STE 208 5420 WADE PARK BLVD	RALEIGH	NC	27607-4189	919.803.1764
DELAUNEY	ANTHONY	STE 208 5420 WADE PARK BLVD	RALEIGH	NC	27607-4189	919.803.0564
EDMONDS	ROBERT	STE 211 3608 W FRIENDLY AVE	GREENSBORO	NC	27410-4833	336.574.3160
OLIVER	APRIL	STE 250 4500 CAMERON VALLEY PARKWAY	CHARLOTTE	NC	28211-4275	704.540.7171
FULGHUM	HOGAN	STE 250 4500 CAMERON VALLEY PKWY	CHARLOTTE	NC	28211-4275	704.540.4600

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SWEET	STEPHEN	STE 300 10130 MALLARD CRK RD	CHARLOTTE	NC	28262-6001	704.503.7524
ANTONICH	MARK	STE 302 8832 BLAKENEY PROFESSIONAL DR	CHARLOTTE	NC	28277-6717	704.944.2088
RICE	JAMES	STE 302 8832 BLAKENEY PROFESSIONAL DR	CHARLOTTE	NC	28277-6717	704.944.2060
CONNER	WES	STE 311 1 OAK ST	ASHEVILLE	NC	28801-3002	828.255.3551
MC CLAUGHERTY	JEFFREY	STE 490 2501 BLUE RIDGE RD	RALEIGH	NC	27607-6366	919.670.2600
VARNER	DAVID	STE 6 200 S STATE ST	LEXINGTON	NC	27292-3371	336.357.7777
WONG	RAYMOND	STE 600 1829 E FRANKLIN ST	CHAPEL HILL	NC	27514-5863	919.928.0945
SUMMERLIN	GERALD	STE A 1435 FWY DR	REIDSVILLE	NC	27320-7105	336.634.4762
CALHOUN	ROGER	STE A1 1365 WESTGATE CTR DR	WINSTON SALEM	NC	27103-2916	336.765.1985
MORRISON	JAMES	STE C 100 ERKWOOD DR	HENDERSONVILLE	NC	28739-6382	877.524.8868
WRIGHT	MICHAEL	STE C 127 N FULTON ST	SALISBURY	NC	28144-4221	704.754.5950
BARNES	RODERICK	STE K 403 GILEAD RD	HUNTERSVILLE	NC	28078-6814	704.895.3771
MCCUISTON	ROBERT	SUITE 203 805 STATE FARM ROAD	BOONE	NC	28607-4914	828.264.0066
PINNOW	STEVEN	1111 31ST AVE SW	MINOT	ND	58701-2018	701.837.9226
VAN DELINDER	ALAN	1111 31ST AVE SW STE A	MINOT	ND	58701-2018	701.837.9226
PRESTENG	MARK	1245 LAWLER AVE	GRAFTON	ND	58237-1762	701.352.1217
ZAVALNEY	CRAIG	24 MAIN ST N STE H	MINOT	ND	58703-3104	701.837.5678
ANKRUM	EDWARD	3350 13TH AVE S STE G	FARGO	ND	58103-3577	701.476.1215
ALBERT	DEBBIE	3425 S WASHINGTON ST STE A	GRAND FORKS	ND	58201-7101	701.746.5429
VERDUYN	TERI	3523 45TH ST S STE 100	FARGO	ND	58104-8962	701.433.0556
MCCARTHY	ANGELA	4160 24TH AVE S SUITE 100	FARGO	ND	58104-9038	701.364.5640
GAGNER	ASHLEY	4445 2ND AVE S STE 1	FARGO	ND	58103-0906	701.532.2700
BIERDEMAN	MARK	4610 AMBER VLY PKWY S	FARGO	ND	58104-8621	701.282.5515
KIRCHMEIER	JASON	505 E MAIN AVE STE 100	BISMARCK	ND	58501-4435	701.258.9735
VETTER	LEON	STE 1 30 1ST AVE E	DICKINSON	ND	58601-5265	701.483.5735
BIRD	JOEL	STE 100 505 E MAIN AVE	BISMARCK	ND	58501-4435	701.258.9735
SCHLAFMAN	DAVID	STE 100 505 E MAIN AVE	BISMARCK	ND	58501-4435	701.258.9735
MRACHEK	KRISTOPHER	STE 210 1500 14TH ST W	WILLISTON	ND	58801-4078	701.577.4697
DRAEGER	DENNIS	STE B 2300 13TH AVE S	FARGO	ND	58103-3700	701.232.8886
RATH	SCOTT	104 E 2ND ST PO BOX 335	LAUREL	NE	68745-0335	402.256.3111
SMITH	MARK	1111 N 102ND CT STE 320	OMAHA	NE	68114-2194	402.334.7265
PORTER	SAMMY	11819 MIRACLE HILLS DR STE 101	OMAHA	NE	68154-4428	402.491.3400
WOOD	PHILLIP	1350 N BELL ST	FREMONT	NE	68025-3533	402.753.3080
BOHN	CURTIS	14769 CALIFORNIA ST STE 3	OMAHA	NE	68154-1920	402.281.4845
KNIGHT	DAVID	1935 NORTH 120TH ST	OMAHA	NE	68154-1391	402.898.4600
TROUPE	JEFFREY	218 N OAKLAND AVE	OAKLAND	NE	68045-1339	402.685.5706
WOODRUFF	ROBERT	218 W 6TH ST PO BOX 307	YORK	NE	68467-0307	402.362.5342
STRAMEL	LESLIE	219 W 1ST ST PO BOX 95	MCCOOK	NE	69001-0095	308.345.5213
FLYNN	STEVEN	2424 S 153RD ST	OMAHA	NE	68144-1922	402.697.1753
HOGELAND	SAMUEL	2815 13TH ST	COLUMBUS	NE	68601-4918	402.562.5919
GARNER	DAN	340 N STATE ST	OSMOND	NE	68765-5723	402.748.3200
SULLIVAN	CHRISTOPHER	509 NORTH D ST PO BOX 392	FREMONT	NE	68026-0392	402.721.3100
ANDERSON	KATHRYN	612 W BENJAMIN AVE	NORFOLK	NE	68701-2982	402.371.6827
RECH	BRIAN	612 W BENJAMIN AVE	NORFOLK	NE	68701-2982	402.371.6827
DOUGHTY	MARSHALL	PO BOX 606 520 E FRANCIS ST	NORTH PLATTE	NE	69103-0606	308.532.7350
KELLER	DAVID	STE 100 7011 KENTWELL LN	LINCOLN	NE	68516-6684	402.323.6550
GORACKE	BRAD	STE 102 17310 WRIGHT ST	OMAHA	NE	68130-2405	402.681.8406
THOMAS	ANGELIA	STE 102 17310 WRIGHT ST	OMAHA	NE	68130-2405	402.697.7320
LEYDEN	JOHN	STE 102 17310 WRIGHT ST	OMAHA	NE	68130-2405	402.697.7320
HEESE	BRIAN	STE 224 3201 PIONEERS BLVD	LINCOLN	NE	68502-5963	402.421.6672
HAAKINSON	STEPHEN	STE 3 14769 CALIFORNIA ST	OMAHA	NE	68154-1920	402.281.4844
FRIEDMAN	MORRIS	STE 3 14769 CALIFORNIA ST	OMAHA	NE	68154-1920	402.697.7300
ASSELIN	CHRISTOPHER	STE 3 14769 CALIFORNIA ST	OMAHA	NE	68154-1920	402.697.7300
HALVORSON	TRACEY	STE 304 14301 FIRST NATIONAL BANK PKWY	OMAHA	NE	68154-5299	402.965.9055
WILTON	JOHN	STE 304 14301 FNB PARKWAY	OMAHA	NE	68154-5299	402.965.9055
WAGMAN	TIMOTHY	STE 304 14301 FNB PKWY	OMAHA	NE	68154-5299	402.965.9055
STEWART	ERIC	STE 304 14301 FNB PKWY	OMAHA	NE	68154-5299	402.328.0342
SADLER	STEVE	STE 320 1111 N 102ND CT	OMAHA	NE	68114-2194	402.334.7265
KERLIK	GABRIEL	STE 320 1111 N 102ND CT	OMAHA	NE	68114-2194	402.334.7265
DEICHMANN	DARRIN	STE A 208 N 5TH ST	NORFOLK	NE	68701-4155	402.371.1074
DAVIDSON	ADAM	1 PILLSBURY ST STE 100	CONCORD	NH	03301-3556	603.715.8486
DEV	JAI	1 TARA BLVD SUITE 200	NASHUA	NH	03062-2809	603.234.8430
ALLEN	KATHLENE	10 WINDING BROOK DR	STRATHAM	NH	03885-2328	603.580.1616
KILEY	MICHAEL	103 LIBERTY ST	MANCHESTER	NH	03104-3118	603.552.5901
FLEURY	REBECCA	116 S RIVER RD BLDG E	BEDFORD	NH	03110-6734	603.606.6661
TRENDELL	SCOTT	117 WEST STREET STE 2	KEENE	NH	03431-3499	603.499.4454
FITZBAG	TIMOTHY	22 SAWMILL RD	GILFORD	NH	03249-6542	603.524.1555
TERRY	TRAVIS	25 MAIN STREET	SALEM	NH	03079-1922	603.898.2511
MC CABE	RYAN	262 S RIVER RD STE 201	BEDFORD	NH	03110-6916	603.606.4255
HUMPHRIES	MICHAEL	262 S RIVER RD STE 201	BEDFORD	NH	03110-6916	603.606.4255
KINNANE	CHRISTOPHER	262 S RIVER RD STE 201	BEDFORD	NH	03110-6916	603.606.4255
AARTHUN	TROY	262 SOUTH RIVER ROAD STE 201	BEDFORD	NH	03110-6916	603.606.4255
FOLIA	ERIC	264 S RIVER RD	BEDFORD	NH	03110-6824	603.232.8237
NITZSCHKE	DEBORAH	26A WESTERN AVE	HENNIKER	NH	03242-3301	603.428.4344
LONG	NORMAN	288 S RIVER RD BLDG C UNIT 1	BEDFORD	NH	03110-6815	603.232.8284
HALPIN	RAYMOND	288 S RIVER RD BLDG C UNIT 1	BEDFORD	NH	03110-6815	781.367.7186
LAVOIE	LISE	288 S RIVER RD BLDG C UNIT 3	BEDFORD	NH	03110-6815	603.606.8960
MECONI	ARTHUR	288 SOUTH RIVER RD BUILDING C UNIT 3	BEDFORD	NH	03110-6815	603.232.8266
RING	CARL	300 MAIN ST PO BOX 983	PLYMOUTH	NH	03264-0983	603.536.2393
NORMANDIN	ROBERT	302 RIVERWAY PLACE	BEDFORD	NH	03110-6764	603.623.7300

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KINGSBURY ROSKILLY	KELLY	314 MIDDLE ST	PORTSMOUTH	NH	03801-5102	603.828.6034
LEO	TODD	335 NASHUA ST	MILFORD	NH	03055-4998	603.721.7200
TYLER	JOSEPH	406 RIVERWAY PL	BEDFORD	NH	03110-6765	603.296.0022
SULLIVAN	WILLIAM	49 NEWPORT RD PO BOX 2518	NEW LONDON	NH	03257-2518	603.526.8846
WOLFE	JULIANNE	49 NEWPORT RD PO BOX 2518	NEW LONDON	NH	03257-2518	603.526.2545
SHAMESMAN	SCOTT	65 NEWMARKET RD	DURHAM	NH	03824-3136	603.988.9136
WHITE	MICHEAL	74 MAIN ST STE A PO BOX 184	FRANCETOWN	NH	03043-0184	603.831.5004
BOUCHER	FREDERICK	80 MAIN ST	NASHUA	NH	03060-2724	603.883.4788
MORSE	KATHERINE	82 WASHINGTON ST	KEENE	NH	03431-3108	603.924.3946
LANE	ANDREW	84 W BROADWAY	DERRY	NH	03038-2323	603.434.2722
MITHOEFER	RANDALL	BLDG C UNIT 1 288 S RIVER RD	BEDFORD	NH	03110-6815	603.621.7004
KOLOPSKY	MARC	BLDG E 116 RIVER S RD	BEDFORD	NH	03110-6734	603.296.0070
KULSHRESHTHA	PARAG	BLDG E 116 S RIVER RD	BEDFORD	NH	03110-6734	603.606.4910
POULIOT	PAUL	BLDG E 116 S RIVER RD	BEDFORD	NH	03110-6734	603.296.0030
CLARK	MICHAEL	BLDG E FL 2 116 S RIVER RD	BEDFORD	NH	03110-6734	603.218.1304
KILEY	BRENT	STE 201 262 S RIVER RD	BEDFORD	NH	03110-6916	603.606.4255
HALL	JUSTIN	STE 201 262 S RIVER RD	BEDFORD	NH	03110-6916	603.606.4255
MC CORMICK	TERENCE	STE 202 50 NASHUA RD	LONDONDERRY	NH	03053-3429	603.437.4558
SMITH	MARY	STE 203 45 LYME RD	HANOVER	NH	03755-1221	603.653.0317
GIROUX	SUSAN	STE 312 10 FERRY ST	CONCORD	NH	03301-5081	603.226.3537
CHABOT	JOSHUA	STE 421 20 TRAFALGAR SQ	NASHUA	NH	03063-1996	603.589.4021
BONFIGLIO	ROBERT	SUITE 201 262 SOUTH RIVER ROAD	BEDFORD	NH	03110-6916	603.606.4255
RILEY ARNESEN	ANDREA	UNIT 17A 74 NORTHEASTERN BLVD	NASHUA	NH	03062-3177	603.598.9880
KENNELLY	ROBERT	UNIT 2 92 MAIN ST	MEREDITH	NH	03253-5843	603.279.5390
MANN	BRENDAN	UNIT 2B 210 N STATE ST	CONCORD	NH	03301-3266	603.227.6139
BEEKMAN	RONALD	1 INTERNATIONAL BLVD STE 400	MAHWAH	NJ	07495-0025	201.512.8772
MAU	SHELLEY	10 WHITNEY PL	PRINCETON JCT	NJ	08550-2302	609.275.0634
DELMONTE	DONALD	100 CENTER BLVD STE F	MARLTON	NJ	08053-4128	856.988.9113
ELDRIDGE	WILLIAM	100 CENTER BLVD STE F	MARLTON	NJ	08053-4128	856.988.9113
GODFROY	MATTHEW	100 FEDERAL CITY RD UNIT C102	LAWRENCE TWP	NJ	08648-1664	609.771.8018
PISKO	JOSEPH	1105 LAUREL OAK RD SUITE 154	VOORHEES	NJ	08043-4312	856.783.5050
WREH	TUAN	1105 LAUREL OAK ROAD SUITE 142	VOORHEES	NJ	08043-4312	856.741.8000
CLARIZIO	LEONARD	1130 MCBRIDE AVE STE 303	WOODLAND PARK	NJ	07424-3801	973.256.5663
MEIS	JAMES	12 LINWOOD PROFESSIONAL PLAZA 2021 NEW RD	LINWOOD	NJ	08221-1045	609.653.0052
AMES	DAVID	13 MAIN ST STE 4	SPARTA	NJ	07871-1915	973.729.0077
SILVER	JEFFREY	133 FRANKLIN COR RD	LAWRENCE	NJ	08648-2531	609.512.7405
SHAMIM	SUNITA	14 CLIFFWOOD AVE SUITE 250	MATAWAN	NJ	07747-3934	732.970.7540
GOULD	MICHAEL	14 CLIFFWOOD AVENUE SUITE 250	MATAWAN	NJ	07747-3934	732.970.7540
BIFULCO	GERARD	141 W FRONT ST STE 160	RED BANK	NJ	07701-6436	732.212.8654
CADICHON	RACHEL	141 WEST FRONT ST STE 160	RED BANK	NJ	07701-6436	732.747.1673
CHIVI	ZAKKOUR	141 WEST FRONT STREET	RED BANK	NJ	07701-6418	732.212.8646
CRAPPELLI	VINCENT	147 UNION AVE STE 203	MANASQUAN	NJ	08736-3648	732.528.1110
MURRAY	THOMAS	15 BIRCH PARKWAY	SPARTA	NJ	07871-1204	973.726.9405
LATIMER	KEITH	161 S MAIN ST	MILLTOWN	NJ	08850-1800	732.261.6471
LARSON	GREGORY	1661 RTE 22 W PO BOX 8132	BRIDGEWATER	NJ	08807-8132	908.575.0905
MACY	SUSAN	1719 ROUTE 10 SUITE 221	PARSIPPANY	NJ	07054-4500	973.775.9281
JOSHI	HEMA	19 MCPHERSON DR	FLEMINGTON	NJ	08822-2643	908.237.5199
FARRELL	KEVIN	199 NEW RD STE 4	LINWOOD	NJ	08221-2025	609.445.4553
CLARK	DERRICK	2 RIDGEDALE AVE STE 250	CEDAR KNOLLS	NJ	07927-1108	973.435.0972
GRIMMIE	STEPHEN	2021 NEW RD 12 LINWOOD PROF PLAZA	LINWOOD	NJ	08221-1045	609.653.0052
SCHNEIDER	LARRY	2021 NEW RD 12 LINWOOD PROFESSIONAL PLAZA	LINWOOD	NJ	08221-1045	609.408.9793
FAVERZANI	FRANK	2021 NEW RD 12 LINWOOD PROFESSIONAL PLAZA	LINWOOD	NJ	08221-1045	609.653.0052
VAN OLLEFEN	LAWRENCE	2021 NEW RD 12 LINWOOD PROFESSIONAL PLAZA	LINWOOD	NJ	08221-1045	609.653.0052
PENNY	WILLIAM	2021 NEW ROAD 12 LINWOOD PROFESSIONAL PLAZA	LINWOOD NJ			08221-1045
609.653.0052						
SHINE	KENNETH	2032 STATE ROUTE 35	WALL TOWNSHIP	NJ	07719-3529	732.280.1408
DOMINICI	DAVID	2129 HIGHWAY 33	HAMILTON SQUARE	NJ	08690-1740	609.584.9700
SICKLER	GARY	2302 ZION RD	NORTHFIELD	NJ	08225-1045	609.645.9110
BURNS	MARLENE	24 N MAIN ST	LAMBERTVILLE	NJ	08530-2104	610.397.0197
HANDZO	MICHAEL	250 PEHLE AVE STE 200 PARK 80 WEST PLAZA TWO	SADDLE BROOK	NJ		07663-
5835						
HIGGISON	BRUCE	250 PEHLE AVE STE 200-2	SADDLE BROOK	NJ	07663-5835	201.291.2875
LANDAU	EDWARD	25A HANOVER RD STE 103	FLORHAM PARK	NJ	07932-1441	973.633.0877
LIGHT	DAVID	25A HANOVER RD STE 103	FLORHAM PARK	NJ	07932-1441	973.633.0877
RINALDO	MICHAEL	25A HANOVER RD SUITE 103	FLORHAM PARK	NJ	07932-1441	973.633.0877
TRIA	ROBERT	263 CENTER AVE STE 2	WESTWOOD	NJ	07675-1738	201.497.8060
MARTIN	GREGORY	28 PLAZA NINE C	MANALAPAN	NJ	07726	732.431.0732
GARCIA	PATRICK	28 VALLEY RD STE 1	MONTCLAIR	NJ	07042-2709	973.559.5445
FROLE	CHRISTINE	28 VALLEY RD STE 144	MONTCLAIR	NJ	07042-2709	973.532.6200
BURNS	JEFFREY	2ND FL 100 OVERLOOK CTR	PRINCETON	NJ	08540-7814	609.375.2154
DE LUCIA	ANTHONY	2ND FL 100 OVERLOOK CTR	PRINCETON	NJ	08540-7814	609.375.2090
JOHNSTON	GARY	2ND FL 101 COLLEGE RD E	PRINCETON	NJ	08540-6775	609.452.2299
BORSUK	ALEXANDER	2ND FLOOR 101 COLLEGE RD E	PRINCETON	NJ	08540-6775	609.853.0813
BORSUK	CHRISTOPHER	2ND FLOOR 101 COLLEGE RD E	PRINCETON	NJ	08540-6775	609.454.2083
RANADIVE	HEMANT	30 KNIGHTSBRIDGE RD STE 525	PISCATAWAY	NJ	08854-3963	908.218.1222
GALLAGHER	JOHN	31 HENRY ROAD POST OFFICE BOX 310	GREENDALE	NJ	07839-0310	973.300.4842
BAYRASLI	LEVENT	3322 ROUTE 22 WEST BLDG 4 STE 428	BRANCHBURG	NJ	08876-3395	908.698.0977
CERDEIRA	KATHERINE	410 HIGHWAY 34 N STE 214	COLTS NECK	NJ	07722-1017	732.577.0011
LUPI	JOHN	410 HWY 34 STE 214	COLTS NECK	NJ	07722-1017	732.577.0011
MORGANO	JEROME	411 ROUTE 539	CREAM RIDGE	NJ	08514-2303	609.241.7440

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Last	First	Address	City	State	ZIP Code	Bus Phone
DIPIETRO	JOHN	432 GANTTOWN RD STE 108	SEWELL	NJ	08080-1895	856.218.7030
MAY	MICHELLE	50 DIVISION ST STE 501	SOMERVILLE	NJ	08876-2944	908.575.1550
SCHAD	RICHARD	50 RUN CREEK PL	MARMORA	NJ	08223-1290	609.390.2220
HANSEN	ROY	525 ROUTE 73 N STE 303	MARLTON	NJ	08053-3422	609.654.7400
WARNER	THOMAS	525 ROUTE 73 N STE 303	MARLTON	NJ	08053-3422	609.654.7400
GIORDANO	ANTHONY	54 SHREWSBURY AVE	RED BANK	NJ	07701-1113	732.212.1034
DIGREGORIO	CHRISTOPHER	557 CRANBURY RD STE 17	EAST BRUNSWICK	NJ	08816-5419	732.967.2665
HALL	ROBERT	6 THOREAU DR	FREEHOLD	NJ	07728-4666	609.375.2133
LOSE	MARK	617A STATION AVE	HADDON HEIGHTS	NJ	08035-1906	856.547.3339
GALLO	DOMINICK	7 SADDLE RIDGE RD	COLTS NECK	NJ	07722-1058	732.706.5633
HAN	LIET	70 CHURCH ST	FLEMINGTON	NJ	08822-1642	908.751.4119
FARRELL	JAMES	700 LAKE ST STE 700B	RAMSEY	NJ	07446-1246	609.385.2529
BOBO	GAVIN	701A RT 73 S STE 405 MARLTON EXECUTIVE PARK	MARLTON	NJ	08053-9637	856.797.0200
ROTELLA	CHRISTOPHER	73 NEWARK POMPTON TPK FL 2	RIVERDALE	NJ	07457-1451	973.616.8020
LEWIS	WILLIAM	73 NEWARK POMPTON TPKE	RIVERDALE	NJ	07457-1451	973.616.8020
MUNN	WILLIAM	80 E RT 4 STE 390	PARAMUS	NJ	07652-2658	201.226.1780
SCHULDT	FREDERICK	80 E RT 4 STE 390 THE ATRIUM	PARAMUS	NJ	07652-2658	201.226.1780
GRASSO	LAURA	80 EAST ROUTE 4 STE 240	PARAMUS	NJ	07652-2620	201.367.1827
NIGRO	MARIA Z	80 EAST ROUTE 4 STE 240	PARAMUS	NJ	07652-2620	201.297.8063
KLENOFSKY	MITCH	80 EAST ROUTE 4 STE 240	PARAMUS	NJ	07652-2620	201.367.1827
INNOCENTI	JASON	83 SOUTH STREET STE 102	FREEHOLD	NJ	07728-2393	866.970.0707
SLOSSBERG-NORTH	LLNON	86 MIDLAND AVE	MONTCLAIR	NJ	07042-2916	973.744.4500
FAUBERT	LUIDGI	86 MIDLAND AVE	MONTCLAIR	NJ	07042-2916	973.625.1120
WILLIAMS	JILL	86 MIDLAND AVE	MONTCLAIR	NJ	07042-2916	973.860.7222
LIAO	HENRY	90 E HALSEY RD STE 106	PARSIPPANY	NJ	07054-3709	973.265.1185
LIN	CHIEN	90 E HASLEY RD STE 106	PARSIPPANY	NJ	07054	973.917.3906
FRANCIS	ROGER	90 EAST HALSEY RD STE 106	PARSIPPANY	NJ	07054-3709	973.946.5549
O'DONNELL	JOHN	90 EAST HALSEY RD STE 106	PARSIPPANY	NJ	07054-3709	973.946.5432
GALLANT	MONTGOMERY	92 NASSAU ST	PRINCETON	NJ	08542-4530	609.279.1950
VECCHIONE	MICHAEL	99 KINDERKAMACK RD STE 301	WESTWOOD	NJ	07675-3021	201.707.5769
ARIAS	CARLOS	990 RARITAN RD STE A	CLARK	NJ	07066-1758	908.272.0188
LEONARD	CHARLES	STE 405	MARLTON	NJ	08053-4144	603.677.7009
CONFALONE	PHILIP	BLDG A SUITE 4 115 RTE 46 W	MOUNTAIN LKS	NJ	07046-1655	973.299.9400
JESKE	KENNETH	EAST 80 ROUTE 4 STE 160	PARAMUS	NJ	07652-2647	201.843.2330
BREHM	JEFFREY	FL 1 STE 1 104 UNION AVE	MANASQUAN	NJ	08736-3625	732.292.1780
BURKLOW	TIMOTHY	FL 2 73 NEWARK POMPTON TPKE	RIVERDALE	NJ	07457-1451	973.616.8020
ROTELLA	MATTHEW	FL 2 73 NEWARK POMPTON TPKE	RIVERDALE	NJ	07457-1451	973.616.8020
LEESMAN	PAUL	LEESMAN BLDG 663 LAFAYETTE AVE	HAWTHORNE	NJ	07506-2436	973.423.3800
GILMARTIN	JAMES	STE 10 125 ELM ST	WESTFIELD	NJ	07090-3147	908.301.9236
CROGHAN	STEPHEN	STE 101 349 HWY 31	FLEMINGTON	NJ	08822-5777	908.782.7382
THOR	LEONARD	STE 102 173 ESSEX AVE	METUCHEN	NJ	08840-2281	908.485.7882
NADER	PAUL	STE 102 83 SOUTH ST	FREEHOLD	NJ	07728-2393	866.970.0707
CHAUHAN	MANODA	STE 103 201 W PASSAIC ST	ROCHELLE PARK	NJ	07662-3126	201.845.9111
STEPHANATOS	PETER	STE 103 201 W PASSAIC ST	ROCHELLE PARK	NJ	07662-3126	201.845.9111
KELLY	JOHN	STE 106 90 EAST HALSEY RD	PARSIPPANY	NJ	07054-3709	973.917.4692
SOSNA	SCOTT	STE 140 80 RT 4 EAST	PARAMUS	NJ	07652-2620	201.483.9550
VIRGONE	JOSEPH	STE 140 80 RT 4 EAST	PARAMUS	NJ	07652-2620	201.483.9550
LANG	EDWARD	STE 140 80 RT 4 EAST	PARAMUS	NJ	07652-2620	201.483.9550
BARROWAY	KENNETH	STE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
FISH	NICHOLAS	STE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
SKWARA	JOSEPH	STE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
BLACKMON	KENNETH	STE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
MC LEER	WILLIAM	STE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
VITANZA	STEVEN	STE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
REARDEN	JOHN	STE 154 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.783.5050
GREENWOOD	ROBERT	STE 154 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.783.5050
ANDREANIDIS	PETROS	STE 154 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.783.5050
WARD	WILLIAM	STE 160 141 W FRONT ST	RED BANK	NJ	07701-6436	732.747.1673
MANDILE	JOSEPH	STE 160 141 W FRONT ST	RED BANK	NJ	07701-6436	732.747.1673
GIOIA	THOMAS	STE 160 141 W FRONT ST	RED BANK	NJ	07701-6436	732.747.1673
ZACCARDO	JOSEPH	STE 160 141 W FRONT ST	RED BANK	NJ	07701-6436	732.747.1673
BALTEANU	ANDREA	STE 165 80 EAST ROUTE 4	PARAMUS	NJ	07652-2622	201.367.1827
MODERNEL	SERGIO	STE 17 557 CRANBURY RD	EAST BRUNSWICK	NJ	08816-5419	732.307.9737
JAGHAB	JAMES	STE 17 557 CRANBURY RD	E BRUNSWICK	NJ	08816-5419	732.307.9737
MANOCHIO	ROCCO	STE 1A 1064 S MAIN ST	WEST CREEK	NJ	08092-2913	609.318.8000
WALKER	STEPHEN	STE 201 24 MINE ST	FLEMINGTON	NJ	08822-6500	908.782.7673
PALAZZO	ALAN	STE 203A 160 LITTLETON RD	PARSIPPANY	NJ	07054-1871	973.968.3396
CODACCOVI	SCOTT	STE 212A BLDG 1 3350 STATE HIGHWAY 138	WALL TOWNSHIP	NJ	07719-9694	732.800.3055
BERLIN	JUDITH	STE 214 410 HIGHWAY 34 N	COLTS NECK	NJ	07722-1017	732.303.1188
ESTERMAN	ROBERT	STE 215 525 ROUTE 73 N	MARLTON	NJ	08053-3422	856.334.5001
PALESTINE	JOSH	STE 250 14 CLIFFWOOD AVE	MATAWAN	NJ	07747-3934	732.970.7540
KALMA	ERIC	STE 250 14 CLIFFWOOD AVE	MATAWAN	NJ	07747-3934	732.970.7540
ZAMKOFF	JARRID	STE 250 14 CLIFFWOOD AVE	MATAWAN	NJ	07747-3934	732.970.7540
HOR	BERT	STE 250 14 CLIFFWOOD AVE	MATAWAN	NJ	07747-3934	732.970.7540
CHHABRA	NIRAJ	STE 250 2 RIDGEDALE AVE	CEDAR KNOLLS	NJ	07927-1108	973.265.1184
TURI	JOHN	STE 300 146 STATE ROUTE 34	HOLMDEL	NJ	07733-2408	732.772.1172
STILLWELL	JEFFREY	STE 304 B 12 BROAD ST	RED BANK	NJ	07701-1938	732.362.7592
FORNASIERI	STEVEN	STE 316 140 N STATE RT 17	PARAMUS	NJ	07652-2817	201.880.9700
TOMPESKU	ALAN	STE 316 140 RTE 17 N	PARAMUS	NJ	07652-2817	201.880.9700
COURTWRIGHT	WILLIAM	STE 390 80 E RT 4	PARAMUS	NJ	07652-2658	201.226.1780

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Last	First	Address	City	State	ZIP Code	Bus Phone
MCAID	BRIAN	STE 390 80 E RT 4	PARAMUS	NJ	07652-2647	201.226.1780
SPOSATO	ANTHONY	STE 390 80 RT 4 EAST	PARAMUS	NJ	07652-2658	201.226.1780
ANDREACCHIO	ROBERT	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
THESING	WILLIAM	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
LA SELVA	LOUIS	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
WHITE	STUART	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
RADIMER	KEITH	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
FITZGERALD	MATTHEW	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
HEISER	CHRISTOPHER	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
GALLAGHER	IAN	STE 405 MARLTON EXECUTIVE PARK 701A ROUTE 73 S	MARLTON	NJ	08053-9637	856.797.0200
PIO COSTA	ANTHONY	STE 450 155 PASSAIC AVE	FAIRFIELD	NJ	07004-3562	973.276.3290
GUGGENHEIM	ERIC	STE 510 3000 ATRIUM WAY	MOUNT LAUREL	NJ	08054-3914	856.669.2600
NOCITO	JAMES	STE 510 3000 ATRIUM WAY	MOUNT LAUREL	NJ	08054-3914	856.669.2600
PITTAOULIS	GEORGE	STE 510 3000 ATRIUM WAY	MOUNT LAUREL	NJ	08054-3914	856.669.2600
ZARROLI	ALFRED	STE 510 3000 ATRIUM WAY	MOUNT LAUREL	NJ	08054-3914	856.669.2605
SANTILLO	MATTHEW	STE 510 3000 ATRIUM WAY	MOUNT LAUREL	NJ	08054-3914	856.669.2600
ALTMANN	BRIAN	STE 510 3000 ATRIUM WAY	MOUNT LAUREL	NJ	08054-3914	856.669.2600
SANDMAN	SUSAN	STE 6 2ND FLOOR 1661 RT 22 WEST	BRIDGEWATER	NJ	08807-8132	732.766.0770
MC GRORY	PATRICK	STE B2 782 S BREWSTER RD	VINELAND	NJ	08361-6000	856.690.9232
PETERS	DAVID	STE B-8A 21 ROUTE 31 N	PENNINGTON	NJ	08534-1621	609.730.3963
COHEN	STUART	STE D8 2630 E CHESTNUT AVE	VINELAND	NJ	08361-8400	856.696.7300
GREENWALD	LINDA	STE H 163 BURLINGTON PATH RD	CREAM RIDGE	NJ	08514-1622	609.223.2000
DUFFIELD	PATRICK	SUITE 142 1105 LAUREL OAK RD	VOORHEES	NJ	08043-4312	856.741.8000
BROCIOUS	ALBERT	SUITE 142 1105 LAUREL OAK ROAD	VOORHEES	NJ	08043-4312	856.741.8000
HEIDE	MICHELLE	UNIT 1B & 1C 16 LEIGH ST	CLINTON	NJ	08809-1412	908.713.6600
GARRETT	DAVID	107 BRYN MAWR DR SE	ALBUQUERQUE	NM	87106-2209	505.962.2166
CAMPBELL	JEREMY	300 GALISTEO ST STE 101	SANTA FE	NM	87501-2607	505.995.0714
OVERMYER	CARL	340 N WATER ST	LAS CRUCES	NM	88001-1221	575.541.6501
THOMAS	TREVOR	3850 MASTHEAD ST	ALBUQUERQUE	NM	87109-4479	505.884.5757
DUVALL	TED	3850 MASTHEAD ST NE	ALBUQUERQUE	NM	87109-4479	505.884.5757
BACON	RICHARD	3850 MASTHEAD ST NE	ALBUQUERQUE	NM	87109-4479	505.884.5757
WALTON	DONA	6501 WYOMING BLVD NE BLDG E	ALBUQUERQUE	NM	87109-0030	505.954.1563
MORRISON	SUSAN	7101 JEFFERSON ST NE STE C	ALBUQUERQUE	NM	87109-4320	505.433.2255
BAXTER	DYLAN	3850 MASTHEAD ST NE	ALBUQUERQUE	NM	87109-4479	505.884.5757
SANMAN	MARK	10161 PARK RUN DR STE 150	LAS VEGAS	NV	89145-8872	702.388.1116
COONS	FREDERICK	1591 MONO AVE	MINDEN	NV	89423-4012	775.782.6184
SANDE	JAMES	201 W LIBERTY ST STE LL2	RENO	NV	89501-2067	775.683.3555
DUBE'	JOHN	231 N BUFFALO DR STE B	LAS VEGAS	NV	89145-0305	702.360.0040
ALLRED	MATTHEW	2900 W HORIZON RDG PKWY STE 201	HENDERSON	NV	89052-5014	702.992.6300
ANGIER	MICHAEL	5305 RENO CORPORATE DR STE 200	RENO	NV	89511-2394	775.853.1503
WEBB	STEPHANIE	606 S NINTH ST	LAS VEGAS	NV	89101-7013	702.794.0400
HEERS	SANDRA	709 E TELEGRAPH ST	CARSON CITY	NV	89701-4219	775.884.0188
BEAN	LORI	7251 W LAKE MEAD BLVD STE 210	LAS VEGAS	NV	89128-8396	702.256.1450
DE CLEENE	SHERILL	STE 735	RENO	NV	89521-3964	775.829.7210
MULLOY	CHRISTOPHER	STE 735	RENO	NV	89521-3964	775.829.7210
FITZSIMMONS	DANIEL	STE 735	RENO	NV	89521-3964	775.829.7210
GREAVES	LAKELY	STE 100 7465 W LAKE MEAD BLVD	LAS VEGAS	NV	89128-1033	702.457.9876
VAN HOLLEBEKE	ANTHONY	STE 110 7477 W LAKE MEAD BLVD	LAS VEGAS	NV	89128-0374	702.534.7500
BERTRAN	C	STE 110 7477 W LAKE MEAD BLVD	LAS VEGAS	NV	89128-0374	702.283.5200
SHOEMAKER	ROBIN	STE 140 1781 VILG CTR CIR	LAS VEGAS	NV	89134-0573	702.395.8100
JOHNSON	JEREMIAH	STE 200 2831 SAINT ROSE PKWY	HENDERSON	NV	89052-4841	702.818.1111
DUDEK	TATIANA	STE 204 2470 SAINT ROSE PKWY	HENDERSON	NV	89074-7774	702.938.8080
HART	MICKEY	STE 204 2470 SAINT ROSE PKWY	HENDERSON	NV	89074-7774	702.948.0400
CARLSON	ELAINA	STE 214 9121 W RUSSELL RD	LAS VEGAS	NV	89148-1239	702.990.5873
FOURNIER	MATTHEW	STE B 231 N BUFFALO DR	LAS VEGAS	NV	89145-0305	702.240.7300
HAUGHNEY	EDNA	1 BLUE HILL PLZ STE 1509 LBBY LEVEL	PEARL RIVER	NY	10965-3104	845.653.3272
DROST	ANDREW	1 HUNTINGTON QUAD STE 1S03A	MELVILLE	NY	11747-4426	631.396.2075
BISCARDI	JEFFREY	1 INDIAN HEAD RD	COMMACK	NY	11725-2203	631.858.0288
TONG	CHRISTOPHER	1 INDIAN HEAD ROAD	COMMACK	NY	11725-2203	631.858.0288
MASIELLO	DANIEL	1 TELEPORT DR STE 206				
TRAUSE	PAUL	CORPORATE COMMONS ONE	STATEN ISLAND	NY	10311-1000	718.524.8450
BARONE	ANTHONY	100 QUENTIN ROOSEVELT BLVD STE	GARDEN CITY	NY	11530-4874	516.723.9801
LEIMGRUBER	ERIC	100 S JERSEY AVE UNIT 11	EAST SETAUKET	NY	11733-2035	631.353.7880
SENG	JACK	100 SUMMIT LAKE DR	VALHALLA	NY	10595-1339	914.747.0200
KEYS	MICHAEL	10837 71ST AVE STE 7F	FOREST HILLS	NY	11375-4535	718.897.7193
MATHEIS	HENRY	1100 GOODMAN ST S STE 105	ROCHESTER	NY	14620-2530	585.292.9851
KILLEBREW	STEVE	1100 GOODMAN ST S STE 105	ROCHESTER	NY	14620-2530	585.670.0133
GOLDBERG	WESLEY	111 BROADWAY RM 602	NEW YORK	NY	10006-1972	212.233.5404
DONNELLY	JANE	111 BROADWAY SUITE 602	NY	NY	10006-1972	212.233.5404
SMITH	NORMAN	11412 BEACH CHANNEL DR STE 8	ROCKAWAY PARK	NY	11694-2212	347.619.8200
DUNLAP	JACOB	115 VILLAGE SQ PLZ	PAINTED POST	NY	14870-1320	607.962.8430
		1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	303.222.2611

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Last	First	Address	City	State	ZIP Code	Bus Phone
WHITEHEAD	ROBERT	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	631.770.0335
KAUFMAN	SCOTT	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	631.673.3997
KOFOD	LARS	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	631.249.6269
PETRACO	TODD	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	631.343.3200
KUTTIN	JONATHAN	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	631.770.0335
SCHENKMAN	AARON	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	631.249.6269
PISCATELLI	ROBERT	1174 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-4459	800.445.4595
YANG	TONY	1185 AVENUE OF THE AMERICAS FL 3	NEW YORK	NY	10036-2600	212.520.0947
URBAN	ROBERT	12 MITCHELL RD	W HAMPTON BCH	NY	11978-2609	631.885.8989
FREDERICKS	JONATHAN	12 W STATE ST	DOLGEVILLE	NY	13329-1116	315.429.8219
TURNER	BRIAN	120 E WASHINGTON ST FL 10TH	SYRACUSE	NY	13202-4000	315.218.5041
WEBB	TERRY	120 MAIN ST	DELHI	NY	13753-1205	607.214.4015
MARTINO	ROBERT	1200 VETERANS HWY STE 105	HAUPPAUGE	NY	11788-3052	631.663.3133
LAMBERT	RYAN	1205 TROY SCHENECTADY RD STE 103	LATHAM	NY	12110-1074	518.464.4401
SCARAMUZZO	VALENTINO	1207 ROUTE 9 STE 7	WAPPINGERS FL	NY	12590-4987	845.632.8190
BAKSHI	JAGDIP	122 E 42ND ST STE 2215	NEW YORK	NY	10168-2297	646.964.9495
CONLON	BRIAN	122 E 42ND ST STE 2215	NEW YORK	NY	10168-2297	646.964.9401
CAWLEY	KIMBERLY	127 N MAIN ST	CORTLAND	NY	13045-1225	607.344.0011
MC NINCH	CHRISTOPHER	130 MAIN ST	PENN YAN	NY	14527-1219	315.536.6800
PASCALE	JOHN	1433 OLD NORTHERN BLVD	ROSLYN	NY	11576-2146	516.801.0114
SALOMON	JACOB	1433 OLD NORTHERN BLVD	ROSLYN	NY	11576-2146	516.280.6432
ISRANI	SANDEEP	1433 OLD NTHRN BLVD	ROSLYN	NY	11576-2146	516.625.6678
BLANK	JEFFREY	1433 OLD NTHRN BLVD	ROSLYN	NY	11576-2146	516.625.6671
BANCI	FRANCESCA	145 PINELAWN RD STE 340N	MELVILLE	NY	11747-3241	516.864.0500
MILLER	IRA	145 PINELAWN RD STE 340N	MELVILLE	NY	11747-3241	631.683.5570
COLEMAN	MARY	1600 EXPRESS DR S STE 123	HAUPPAUGE	NY	11788-5224	631.780.7052
BARONE	PETER	1600 EXPRESS DR S STE 123	HAUPPAUGE	NY	11788-5224	631.780.7056
HARRIS	MARK	1600 EXPRESS DR S STE 212	HAUPPAUGE	NY	11788-5226	516.977.7090
MERENDINO	JOHN	1600 STEWART AVE STE 303	WESTBURY	NY	11590-6611	516.683.1111
LIANA	JOSEPH	1600 STEWART AVE STE 303	WESTBURY	NY	11590-6611	516.683.1111
PALKOVICH	THOMAS	1600 STEWART AVE STE 303	WESTBURY	NY	11590-6611	516.513.1600
HARTY	STEVEN	1654 COLUMBIA TPKE	CASTLETON	NY	12033-9572	518.479.0522
CURRY	STEPHEN	1673 COUNTY RD 39	SOUTHAMPTON	NY	11968-5254	631.283.8482
DANAHER	MARGUERITE	175 W WELLWOOD AVE	LINDENHURST	NY	11757-5403	631.450.4100
MAZZETTI	DAVID	176 CHURCH ST	POUGHKEEPSIE	NY	12601-4165	845.454.3021
BURT	JASON	176 CHURCH ST	POUGHKEEPSIE	NY	12601-4165	845.454.3021
PHELAN	KERRY	176 CHURCH ST	POUGHKEEPSIE	NY	12601-4165	845.454.3021
MEDDAUGH	MATTHEW	176 CHURCH ST	POUGHKEEPSIE	NY	12601-4165	845.454.3021
DISESA	MAXIMUS	176 CHURCH ST	POUGHKEEPSIE	NY	12601-4165	845.454.3021
TEAL	DARRYL	18 DIVISION ST STE 209	SARATOGA SPGS	NY	12866-2197	518.581.7550
FERRI	JOSEPH	184 FRONT ST	OWEGO	NY	13827-1557	607.223.4603
MC KEEVER	MICHAEL	1855 VICTORY BLVD	STATEN ISLAND	NY	10314-3571	718.370.2770
GARGIULO	ROBERT	1979 MARCUS AVE STE 210	LAKE SUCCESS	NY	11042-1022	516.622.2212
KRICHER	JEANMARIE	200 PARK AVE FL 17	NEW YORK	NY	10166-0004	646.354.6517
CAMILLERI	CHARLES	200 SUMMIT LAKE DR STE 210	VALHALLA	NY	10595-1360	914.236.1200
CUKAJ	JAK	200 SUMMIT LAKE DR STE 210	VALHALLA	NY	10595-1360	914.236.1200
DAVISON	BRIGITTE	200 SUMMIT LAKE DR STE 210	VALHALLA	NY	10595-1360	914.236.1200
ROSS	JOHN	2025 RICHMOND AVE STE 200	STATEN ISLAND	NY	10314-3915	718.305.1870
WOODWARD	MARK	219 E MAIN ST	BATAVIA	NY	14020-2228	585.344.1262
NEFF	SCOTT	219 EAST MAIN STREET	BATAVIA	NY	14020-2228	585.219.4602
STROW	CRAIG	224 FRANKLIN AVE STE 18	HEWLETT	NY	11557-1928	516.569.5867
ANDRES	TIMOTHY	2290 EAST AVE	ROCHESTER	NY	14610-2518	585.295.2140
STONE	MARK	2290 EAST AVE	ROCHESTER	NY	14610-2518	585.295.2140
HILL	MATHEW	2290 EAST AVE 2ND FLOOR	ROCHESTER	NY	14610-2567	585.256.3715
VEGDER	SCOTT	2290 EAST AVE 3RD FLOOR	ROCHESTER	NY	14610-2567	585.721.3883
LURZ	MICHAEL	2310 WEHRLE DR	WILLIAMSVILLE	NY	14221-7021	716.634.6667
CORDARO	LINDA	2338 RTE 96 PO BOX 635	CLIFTON SPRINGS	NY	14432-0635	315.462.2575
PUSCHECK	MICAH	2390 N FOREST RD STE 1	GETZVILLE	NY	14068-1294	716.636.5480
KRIEGER RADZIOWN	JENNIFER	240 REDTAIL STE 13	ORCHARD PARK	NY	14127-1582	716.671.9007
LEWANDROWSKI	MARK	2406 GENESEE ST	UTICA	NY	13502-5813	315.724.5078
PRABHU	ANJANI	2406 GENESEE ST	UTICA	NY	13502-5813	315.368.0214
KUBIAK	RICHARD	2498 UNION ROAD	CHEEKTOWAGA	NY	14227-2231	716.668.0535
KALISH	MARK	25 MAIN ST STE 3-2	GOSHEN	NY	10924-2162	845.291.7000
LISANTI	JOSEPH	265 SUNRISE HWY STE 40	ROCKVILLE CTR	NY	11570-4912	516.705.5062
ABRAMS	JONATHAN	265 SUNRISE HWY STE 40	ROCKVILLE CTR	NY	11570-4912	516.415.7756
NATALO	JOHN	2875 ROUTE 35 STE PROJECT GN-300	KATONAH	NY	10536-3181	914.617.8100
FREDENBURG	RICHARD	29 TALL OAKS DRIVE	SENECA FALLS	NY	13148-1133	315.568.9000
JACOBSEN	JARRETT	2900 WESTCHESTER AVE STE 300	PURCHASE	NY	10577-2551	914.373.8860
FERREIRA-LOPREATO	ANA	2900 WESTCHESTER AVE STE 300	PURCHASE	NY	10577-2551	914.373.6882
HAAK	VICKI	30 E MARKET ST PO BOX 688	RHINEBECK	NY	12572-0688	845.876.1157
BURKHARDT	BRIAN	300 INTERNATIONAL DR STE 100	BUFFALO	NY	14221-5783	716.622.7356
BOUTIS	TED	300 OLD COUNTRY RD STE 371	MINEOLA	NY	11501-4199	516.737.1015
HONOHAN	VICTORIA	300 OLD COUNTRY RD STE 371	MINEOLA	NY	11501-4199	631.683.5570
PARASKEVOPOULOS	DEMETRIOS	300 OLD COUNTRY RD STE 371	MINEOLA	NY	11501-4199	516.288.7610
LAURO	NEIL	300 OLD COUNTRY RD STE 371	MINEOLA	NY	11501-4199	516.288.7632
VICARI	JOSEPH	300 OLD COUNTRY RD STE 371	MINEOLA	NY	11501-4199	516.288.7633
BISHOP	STEPHEN	300 OLD COUNTRY RDSTE 371	MINEOLA	NY	11501-4199	516.653.0462
CAMPBELL	BRANDON	36 SAINT BERNARD ST	SARANAC LAKE	NY	12983-1817	518.891.2086
GROSSMANN	MARK	390 N BROADWAY STE 240	JERICHO	NY	11753-2110	516.231.1000
SIMONELLI	GERARD	390 N BROADWAY STE 240	JERICHO	NY	11753-2110	516.231.1000

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Last	First	Address	City	State	ZIP Code	Bus Phone
MAZZILLI	MICHAEL	399 KNOLLWOOD RD STE G10	WHITE PLAINS	NY	10603-1944	914.341.1482
SAALMAN	DANIEL	399 KNOLLWOOD RD STE G10	WHITE PLAINS	NY	10603-1944	914.506.4102
JACOBSON	MARK	399 KNOLLWOOD RD STE G10	WHITE PLAINS	NY	10603-1944	914.506.4101
BHASHYAM	SHIVA	399 KNOLLWOOD RD STE G10	WHITE PLAINS	NY	10603-1944	914.468.2001
COREA	CHRISTOPHER	3RD FLOOR 2290 EAST AVE	ROCHESTER	NY	14610-2567	585.295.2140
NEEDHAM	DAVID	4 ATRIUM DR STE 200	ALBANY	NY	12205-1441	518.380.2020
KLEINER	DAVID	400 COLUMBUS AVE STE 205	VALHALLA	NY	10595-1369	914.984.7100
MIRANTO	SCOTT	4241 MAPLE RD	AMHERST	NY	14226-1039	716.831.8944
NACHMAN	ERIC	427 BEDFORD RD STE 110	PLEASANTVILLE	NY	10570-3034	914.769.2800
STEIN	TED	427 BEDFORD RD STE 210	PLEASANTVILLE	NY	10570-3035	914.801.7800
BUSCETTO	ANDREW	427 BEDFORD RD STE 330	PLEASANTVILLE	NY	10570-3034	914.747.0810
HOROWITZ	ANDREW	427 BEDFORD RD STE 330	PLEASANTVILLE	NY	10570-3034	914.747.4311
MORRA	GREGORY	43 PARIS RD	NEW HARTFORD	NY	13413-2482	315.724.2345
SMITH	PETER	43 S BROAD ST	NORWICH	NY	13815-1691	607.373.3914
CANDELA	JOSEPH	434 W 33RD ST STE 1211	NEW YORK	NY	10001-2601	646.378.4620
SANGIRARDI	MICHAEL	434 W 33RD ST STE 1211	NEW YORK	NY	10001-2601	646.378.4570
SHARKEY	MARY BETH	434 W 33RD ST STE 1211	NEW YORK	NY	10001-2601	646.292.8029
ALBRECHT	CHARLES	445 BROADHOLLOW RD STE 317	MELVILLE	NY	11747-3601	631.771.1313
VIVOLO	DOMINIC	4476 MAIN ST STE 202	AMHERST	NY	14226-4463	716.768.2972
TYCZYNSKI	JOHN	4476 MAIN ST STE 202	AMHERST	NY	14226-4463	716.424.0510
MOCNIAK	JOSEPH	4510 MERRICK RD	MASSAPEQUA	NY	11758-6008	516.797.7591
MATERA	THOMAS	4510 MERRICK RD	MASSAPEQUA	NY	11758-6008	516.797.7590
ENG	RAYMOND	455 W 23RD ST STE 1F	NEW YORK	NY	10011-2156	718.371.0547
LEVINE	PETER	481 8TH AVE STE 1130	NEW YORK	NY	10001-1809	212.967.1428
MARTINSEN	GREGG	5016 ROCKLEDGE DR	CLARENCE	NY	14031-2425	716.759.1415
KREUSER	MARC	506 W UNION ST	NEWARK	NY	14513-1319	315.331.1177
BIALOGRAW	JOSEPH	52 GENESEE STREET	NEW HARTFORD	NY	13413-2468	315.724.5200
BRUER	RUDOLPH	55000 MAIN ROAD PO BOX 1438	SOUTHOLD	NY	11971-0938	631.765.5100
TRACY	DENNIS	568 N MAIN ST STE 204	BREWSTER	NY	10509-1231	845.363.1666
ANTHIS	KATHERINE	5700 COMMONS PARK	EAST SYRACUSE	NY	13057-9822	315.449.0691
BRESNAN	KATHLEEN	575 LEXINGTON AVE FL 4	NEW YORK	NY	10022-6146	646.964.9440
SHALEK	GORDON	575 LEXINGTON AVE FL 4	NEW YORK	NY	10022-6146	212.705.4255
DEMATTEIS	NICHOLAS	575 LEXINGTON AVE FL 4	NEW YORK	NY	10022-6146	212.222.8361
ANASTASIO	GARY	5786 WIDEWATERS PKWY	SYRACUSE	NY	13214-1865	315.449.1563
CAPELLO	VINCENT	5786 WIDEWATERS PKWY	DE WITT	NY	13214-1865	315.449.1563
FRANK	CRAIG	600 MAMARONECK AVE STE 424	HARRISON	NY	10528-1613	914.301.9404
ANDRIACCIO	MICHAEL	6622 MAIN ST STE 2	WILLIAMSVILLE	NY	14221-5968	716.250.6660
FUSARO	ANTHONY	7 E CARVER ST	HUNTINGTON	NY	11743-3409	631.414.7353
SPRAKER	JUSTIN	7 SOUTHSIDE DR STE 204	CLIFTON PARK	NY	12065-3894	518.280.4867
RIEMER	TIMOTHY	702 DAVISON RD	LOCKPORT	NY	14094-5371	716.478.4320
CONWAY	MICHAEL	707 BROADWAY STE 1	MASSAPEQUA	NY	11758-2327	516.799.1206
LANGLEY	MATTHEW	707 BROADWAY STE 1	MASSAPEQUA	NY	11758-2327	516.799.1206
MANTO	GREGORY	767 3RD AVE FL 38TH	NEW YORK	NY	10017-2023	212.759.2022
ACKERHALT	RYAN	767 3RD AVE FL 38TH	NEW YORK	NY	10017-2023	212.759.2107
FRASH	JAMES	7672 OSWEGO RD	LIVERPOOL	NY	13090-2946	315.546.0023
FRANCO	MARC	7672 OSWEGO RD	LIVERPOOL	NY	13090-2946	315.409.4071
GOOD	ROBERT	7800 STATE ROUTE 5	CLINTON	NY	13323-1012	315.853.2725
COFFEY	ROBERT	800 WESTCHESTER AVE STE 300	RYE BROOK	NY	10573-1330	845.827.5558
LESICA	ANTHONY	800 WESTCHESTER AVE STE 508	RYE BROOK	NY	10573-1354	914.253.0880
PAULMENO	MICHAEL	800 WESTCHESTER AVE STE 508	RYE BROOK	NY	10573-1332	914.253.0880
BONOMO	PAUL	8200 MOLSON WAY	LIVERPOOL	NY	13090-6847	315.652.7660
BALDI	ANTHONY	8310 WEHRLE DR	BUFFALO	NY	14221-7334	716.626.3296
GIMLIN	MICHAEL	8800 MAIN ST	WILLIAMSVILLE	NY	14221-7635	716.839.1434
HAYES	DANIEL	90 LINDEN OAKS STE 230	ROCHESTER	NY	14625-2830	585.461.2280
PERKINS	RANDALL	90 MERRICK AVE SUITE 105	EAST MEADOW	NY	11554-1500	516.861.3521
GEHRIG	DONALD	90 MERRICK AVENUE STE 105	EAST MEADOW	NY	11554-1500	516.861.3534
ZEIGLER	RANDY	97 W UTICA ST	OSWEGO	NY	13126-3045	315.342.1227
ROSENBERG-MOFFITT	LAUREN	98 CUTTERMILL RD STE 2485	GREAT NECK	NY	11021-3010	516.570.4300
FEIGHAN	GREGORY	100 SUMMIT LK DR	VALHALLA	NY	10595-1339	914.747.0200
BOXER	LARRY	100 SUMMIT LK DR	VALHALLA	NY	10595-1339	914.747.0200
MANCUSO	ANTHONY	113 MAIN ST	BATAVIA	NY	14020-2100	585.343.4551
NOCON	NANNETTE	2024 W HENRIETTA RD STE 5K	ROCHESTER	NY	14623-1360	585.475.9430
PRIOLETTI	JAMES	241 E GENESEE ST	SYRACUSE	NY	13202-1409	315.234.7021
BARINGER	JOHN	25 CLINTON AVE	CORTLAND	NY	13045-2101	607.753.6785
COLVIN	MARK	5750 COMMONS PK	E SYRACUSE	NY	13057-9400	315.701.2983
KASH	LANCE	STE 2215	NEW YORK	NY	10168-0002	646.964.9400
BAZANOS	PETER	STE 320	ALBANY	NY	12205-6433	518.458.7200
MILLER	SCOTT	STE 320	ALBANY	NY	12205-6433	518.458.7200
LOMBARDI	JOSEPH	STE 5-508	RYE BROOK	NY	10573-1354	914.253.0880
BHANDARI	MELANIE	STE 5-508	RYE BROOK	NY	10573-1354	914.269.6700
COHEN	MARK	CHANIN BLDG RM 1608 FL 17TH 122 E 42ND ST	NEW YORK	NY	10168-0002	212.551.1196
FUENTES	ELLEN	FL 1 STE 3 4130 75TH ST	ELMHURST	NY	11373-1987	718.458.0908
DALY	DAVID	FL 8 30 WALL ST	NEW YORK	NY	10005-2205	212.709.8277
WEBBER	MEREDITH	STE 1 186 S GRAND ST	COBLESKILL	NY	12043-4717	518.823.4442
KUREY	DONALD	STE 1 5750 COMMONS PARK	E SYRACUSE	NY	13057-9400	315.445.0527
SCHIANO	ANTHONY	STE 1 5750 COMMONS PARK DR	E SYRACUSE	NY	13057-9400	315.445.0369
MIRKOVIC	SASA	STE 1 80 WOLF RD	ALBANY	NY	12205-2608	518.459.5500
PETERSON	IVY	STE 100 800 VETERANS MEMORIAL HWY	HAUPPAUGE	NY	11788-2937	631.418.8000
CORSI	JOHN	STE 100-A 950 DANBY RD	ITHACA	NY	14850-5795	607.272.1316
EVANS	CYNTHIA	STE 100-A 950 DANBY RD	ITHACA	NY	14850-5795	607.272.0777

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MILLER	STEVEN	STE 101 & STE 103 401 FRANKLIN AVE	GARDEN CITY	NY	11530-5942	516.345.2600
ANDRIOLA	PHILIP	STE 101 401 FRANKLIN AVE	GARDEN CITY	NY	11530-5942	516.345.2600
CELSO-MC GURK	ANGELA	STE 103 2 WESTCHESTER PARK DR	WHITE PLAINS	NY	10604-3432	914.219.4632
BERARD	ROBERT	STE 103 2 WESTCHESTER PARK DR	WHITE PLAINS	NY	10604-3432	914.269.6727
LEVINE	DAVID	STE 103 377 OAK ST	GARDEN CITY	NY	11530-6553	516.299.6362
BLOCK	THEODORE	STE 103 377 OAK ST	GARDEN CITY	NY	11530-6553	516.714.3458
LIMPEROPOULOS	GEORGE	STE 103 377 OAK ST	GARDEN CITY	NY	11530-6553	516.299.6066
BOATSWAIN	THOMAS	STE 104 49 W MERRICK RD	FREEPORT	NY	11520-3751	516.442.3254
KAPLAN	MARCIA	STE 104 80 E HARTSDALE AVE	HARTSDALE	NY	10530-2814	914.289.0700
LONDON	JEFFREY	STE 105 90 MERRICK AVE	EAST MEADOW	NY	11554-1500	516.861.3516
OSBOURNE	ALFRED	STE 105 90 MERRICK AVE	EAST MEADOW	NY	11554-1500	516.861.3528
STEPNIEWSKI	TODD	STE 144 500 N BROADWAY	JERICHO	NY	11753-2128	516.797.7590
TASSEY	WILLIAM	STE 144 500 N BROADWAY	JERICHO	NY	11753-2128	516.797.7590
AMORUSO	DONALD	STE 150 100 SUMMIT LAKE DR	VALHALLA	NY	10595-1394	914.747.0200
LEIMGRUBER	RICHARD	STE 150 100 SUMMIT LAKE DR	VALHALLA	NY	10595-1394	914.747.0200
BRIGANTI	SANTO	STE 150 100 SUMMIT LAKE DR	VALHALLA	NY	10595-1394	914.747.0200
FEIGHAN	ROBERT	STE 150 100 SUMMIT LAKE DR	VALHALLA	NY	10595-1394	914.747.0200
DELL'AGLIO	CORRADO	STE 150 100 SUMMIT LK DR	VALHALLA	NY	10595-1394	914.747.0200
ROSEN	LAWRENCE	STE 165 400 RELLA BLVD	SUFFERN	NY	10901-8114	914.909.6470
CATENACCI	PETER	STE 1903 110 W 40TH ST	NEW YORK	NY	10018-3690	646.292.8005
ANTON	LAURAIN	STE 1F 455 W 23RD ST	NEW YORK	NY	10011-2156	646.499.5248
FILOCOMO	JENNIFER	STE 1F 455 W 23RD ST	NEW YORK	NY	10011-2156	646.638.1000
VOLKMAN	DAVID	STE 1F 455 W 23RD ST	NEW YORK	NY	10011-2156	646.360.4343
TROVATO	VINCENT	STE 1G 2345 ROUTE 52	HOPEWELL JCT	NY	12533-3219	845.896.7520
BREDTHAUER	WILLIAM	STE 1G 2345 ROUTE 52	HOPEWELL JCT	NY	12533-3219	845.896.5695
BAUMGARTNER	STEPHEN	STE 1G 2345 ROUTE 52	HOPEWELL JCT	NY	12533-3219	845.227.4951
WINKELMAN	DWIGHT	STE 2 21 FENNEL ST	SKANEATELES	NY	13152-1145	315.685.1959
MISKEY	JOHN	STE 2 6622 MAIN ST	WILLIAMSVILLE	NY	14221-5968	716.565.3880
WHITCOMB	SUSAN	STE 2 842 FORT SALONGA RD	NORTHPORT	NY	11768-2266	631.239.1176
ZEGGER	RAYMOND	STE 200 4 ATRIUM DRIVE	ALBANY	NY	12205-1441	518.438.5500
TARVIN	KAREN	STE 200 EXECUTIVE WOODS 4 ATRIUM DR	ALBANY	NY	12205-1441	518.438.5500
TREADWELL	MICHEILEEN	STE 200 EXECUTIVE WOODS 4 ATRIUM DR	ALBANY	NY	12205-1441	518.438.5500
GLEESON	JOHN	STE 201 640 JOHNSON AVE	BOHEMIA	NY	11716-2624	631.582.9770
CLARE	CRAIG	STE 201 640 JOHNSON AVE	BOHEMIA	NY	11716-2624	631.582.9770
COMSTOCK	BRETT	STE 201 640 JOHNSON AVE	BOHEMIA	NY	11716-2624	631.582.9770
KNOETGEN	JARRED	STE 201 640 JOHNSON AVE	BOHEMIA	NY	11716-2624	631.828.6358
MC CORMICK	DONALD	STE 201 640 JOHNSON AVE	BOHEMIA	NY	11716-2624	631.582.9770
NUCCIO	GARY	STE 201 640 JOHNSON AVE	BOHEMIA	NY	11716-2624	631.582.9770
NAMOWITZ	MARCIA	STE 201 6900 JERICHO TPKE	SYOSSET	NY	11791-4499	516.730.1007
NEWMAN	DAVID	STE 201 6900 JERICHO TURNPIKE	SYOSSET	NY	11791-4499	516.730.1000
CARRIERO	ROCCO	STE 201A 1673 COUNTY RD 39	SOUTHAMPTON	NY	11968-5254	631.283.8482
FUCCI	CHRISTOPHER	STE 205 150 BROADHOLLOW RD	MELVILLE	NY	11747-4901	631.923.0885
MARRACELLO	MICHAEL	STE 206 1 TELEPORT DR	STATEN ISLAND	NY	10311-1000	718.524.8450
NICOLOSI	THOMAS	STE 206 1 TELEPORT DRIVE	STATEN ISLAND	NY	10311-1000	718.524.8450
STORBERG	ERIC	STE 206 1 TELEPORT DRIVE	STATEN ISLAND	NY	10311-1000	718.524.8450
O'ROURKE	SUSAN	STE 206 411 THEODORE FREMD AVE	RYE	NY	10580-1411	914.925.3464
LYNNE	JARED	STE 210 427 BEDFORD RD	PLEASANTVILLE	NY	10570-3035	914.801.7800
BROWN	JOSHUA	STE 212 399 KNOLLWOOD RD	WHITE PLAINS	NY	10603-1937	914.237.5500
RIENAS	RONALD	STE 212 399 KNOLLWOOD RD	WHITE PLAINS	NY	10603-1937	914.237.5500
SALMON	MICHAEL	STE 2215 122 E 42ND ST	NEW YORK	NY	10168-2297	646.964.9470
PAOLUCCI	MICHAEL	STE 2215 122 E 42ND ST	NEW YORK	NY	10168-2297	646.964.9450
BERTUCCI	DONALD	STE 2215 122 E 42ND ST	NEW YORK	NY	10168-2297	646.964.9460
MILLSTEIN	GILBERT	STE 2215 122 E 42ND ST	NEW YORK	NY	10168-2297	646.964.9450
DE VITA	VINCENT	STE 232 333 JERICHO TPKE	JERICHO	NY	11753-1104	516.513.1175
MARTIN	WILLIAM	STE 300 1 CROSFIELD AVE	WEST NYACK	NY	10994-2229	845.348.9090
MURPHY	PASCAL	STE 300 1 CROSFIELD AVE	WEST NYACK	NY	10994-2229	845.348.1582
GREGOR	JOAN	STE 300 2900 WESTCHESTER AVE	PURCHASE	NY	10577-2551	914.777.7526
GAVIN	SEAN	STE 300 2900 WESTCHESTER AVE	PURCHASE	NY	10577-2551	914.373.6835
KUNSTREICH	B	STE 300 2900 WESTCHESTER AVE	PURCHASE	NY	10577-2551	914.921.0039
PELL	GERI	STE 300 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1330	914.253.8800
RIZZUTO	ANTHONY	STE 300 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1330	914.417.3243
HIRSCH	MICHAEL	STE 300 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1330	914.253.8800
MILLER	DENNIS	STE 301 1399 FRANKLIN AVE	GARDEN CITY	NY	11530-1678	516.248.3900
WINNICK	GARY	STE 301 358 BROADWAY	SARATOGA SPGS	NY	12866-7153	518.581.8181
DE STEFANO	ROBERT	STE 303 1600 STEWART AVE	WESTBURY	NY	11590-6611	516.640.4133
LUKOVENKO	DMITRY	STE 305 1430 BROADWAY	NEW YORK	NY	10018-9224	646.292.8010
ZARRA	CHRISTOPHER	STE 307 119 N PARK AVE	ROCKVILLE CTR	NY	11570-4113	516.764.0951
PERICOLOSI	MARK	STE 307 119 N PARK AVE	ROCKVILLE CTR	NY	11570-4113	516.255.0003
WENZEL	JEFFREY	STE 317 445 BROADHOLLOW RD	MELVILLE	NY	11747-3601	866.797.7590
ABNEY	ERIC	STE 317 445 BROADHOLLOW RD	MELVILLE	NY	11747-3601	631.396.1251
WAYNE	THOMAS	STE 320 5 PALISADES DR	ALBANY	NY	12205-6433	518.458.7200
SANGIRARDI	LAWRENCE	STE 340N 145 PINELAWN RD	MELVILLE	NY	11747-3241	631.683.5570
MARINACCIO	JOSEPH	STE 340N 145 PINELAWN RD	MELVILLE	NY	11747-3241	631.683.5570
TRINGLE	ANNA	STE 340N 145 PINELAWN RD	MELVILLE	NY	11747-3241	631.683.5570
SUTTER	CAROL	STE 3B 2024 W HENRIETTA RD	ROCHESTER	NY	14623-1358	585.424.1480
JOHNSON	CHERYL	STE 3B 2024 W HENRIETTA RD	ROCHESTER	NY	14623-1358	585.424.1480
REGINA	ANN	STE 4000 60 E 42ND ST	NEW YORK	NY	10165-0006	646.627.7339
BANKS	COLEEN	STE 401 440 MAMARONECK AVE	HARRISON	NY	10528-2435	914.698.8100
LUCIA	FRANK	STE 403 31 LEWIS ST	BINGHAMTON	NY	13901-3018	607.238.1822
ANAND	INDERPAL	STE 405 100 QUENTIN ROOSEVELT BLVD	GARDEN CITY	NY	11530-4844	516.629.9905

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Last	First	Address	City	State	ZIP Code	Bus Phone
VON ARX	PHILIP	STE 405 100 QUENTIN ROOSEVELT BLVD	GARDEN CITY	NY	11530-4844	516.629.9918
DAVIDSON	HENRY	STE 405 100 QUENTIN ROOSEVELT BLVD	GARDEN CITY	NY	11530-4844	516.629.9910
MANERI	ANTHONY	STE 405 100 QUENTIN ROOSEVELT BLVD	GARDEN CITY S	NY	11530-4844	516.629.9910
HIRSCH	SHAMIR	STE 405 100 QUENTIN ROOSEVELT BLVD	GARDEN CITY	NY	11530-4844	516.629.9903
RIOLO	DOMINICK	STE 406 254 S MAIN STREET	NEW CITY	NY	10956-3363	845.478.6611
FLANAGAN	LARA	STE 508 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1354	914.253.0880
JACOBSON	STACEY	STE 508 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1354	914.948.5445
SANTUCCI	PAUL	STE 508 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1354	914.253.0880
PALAZZOLO	MARK	STE 5D 2024 W HENRIETTA RD	ROCHESTER	NY	14623-1360	585.292.9850
CHEMTOB	MARK	STE 602 111 BROADWAY	NEW YORK	NY	10006-1972	212.233.5404
MARTIN	RICHARD	STE 7 1207 ROUTE 9	WAPPINGERS FL	NY	12590-4987	845.298.2900
HORNUNG	JOHN	STE 7 17 LIMESTONE DR	WILLIAMSVILLE	NY	14221-8601	716.204.1049
WALTER	WILLIAM	STE 7 17 LIMESTONE DR	WILLIAMSVILLE	NY	14221-8601	716.204.1049
HAAG	PETER	STE 7 17 LIMESTONE DR	WILLIAMSVILLE	NY	14221-8601	716.204.1049
MASSARO	MARK	STE 8 17 LIMESTONE DR	WILLIAMSVILLE	NY	14221-8601	716.626.6750
MYERS	JONATHON	STE B 1550 VESTAL PKWY E	VESTAL	NY	13850-1819	607.321.2501
NICOLOSI	CARMELO	STE D 2374 ROUTE 9	MECHANICVILLE	NY	12118-3004	518.400.1099
FALLON	MATTHEW	STE G10 399 KNOLLWOOD RD	WHITE PLAINS	NY	10603-1944	914.401.7266
VETERI	PAUL	STE N641 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1360	914.697.4812
CARTER	MICHAEL	STE S-508 800 WESTCHESTER AVE	RYE BROOK	NY	10573-1332	914.253.0880
BOSTWICK	SEAN	SUITE 101 & 103 401 FRANKLIN AVE	GARDEN CITY	NY	11530-5942	516.345.2600
CUKAJ	MARTIN	SUITE 105 488 FREEDOM PLAINS RD	POUGHKEEPSIE	NY	12603-2697	845.452.9267
MC DONALD	JOHN	SUITE 5D 2024 W HENRIETTA RD	ROCHESTER	NY	14623-1360	585.292.9850
HOFFMAN	JARED	100 W OLD WILSON BRIDGE RD STE 100	WORTHINGTON	OH	43085-5236	614.396.4020
THOMPSON	KAREN	10050 INNOVATION DRIVE SUITE 310	MIAMISBURG	OH	45342-4967	937.312.8331
MEYER	BRIAN	1047 SUMMIT DR	MIDDLETOWN	OH	45042-3464	513.425.9404
DAWSON	JOHNNY	1070 POLARIS PKWY STE 130	COLUMBUS	OH	43240-4039	614.823.8660
HEIMBUCH	PATRICIA	11145 READING RD	CINCINNATI	OH	45241-1903	513.554.1104
HORNING	SCOTT	1120 W MAPLE ST STE B PO BOX 1237	HARTVILLE	OH	44632-1237	330.877.8507
DAVIS	JAMES	115 S SANDUSKY STREET	BELLEVUE	OH	44811-1454	419.483.0100
SUTTON	DOUGLAS	120 E ERVIN RD	VAN WERT	OH	45891-2519	419.238.1610
LUCUS	JENNIFER	121 OUTERBELT ST	COLUMBUS	OH	43213-1548	614.575.6510
KURGAN	JOHN	121 OUTERBELT ST	COLUMBUS	OH	43213-1548	614.575.6510
MC MULLEN	KERRY	121 OUTERBELT ST	COLUMBUS	OH	43213-1548	614.859.3129
LEWIS	ZACHARY	1315 CORPORATE DR STE A	HUDSON	OH	44236-4453	330.650.2550
EDWARDS	DEE	1315 CORPORATE DR STE A	HUDSON	OH	44236-4453	330.650.2550
MAHONEY	MARK	13831 YOUTH ST	N LAWRENCE	OH	44666-9725	330.834.9061
AVERESCH	GREGORY	147 N MAIN ST STE A PO BOX 92	BLUFFTON	OH	45817-0092	419.358.9515
YATES	KEITH	15 CLAIREDALE RD	POWELL	OH	43065-8064	614.841.9420
WHITESMITH	DAVID	1512 W CHURCH ST	NEWARK	OH	43055-1532	740.349.3878
MORRIS	JOHN	1512 WEST CHURCH ST	NEWARK	OH	43055-1532	740.349.3878
LYONS	ALBERT	1536 W CHURCH ST	NEWARK	OH	43055-1532	740.915.6077
ZIPFEL	NEIL	1560 FISHINGER RD STE 270	UPPER ARLINGTON	OH	43221-2108	614.725.1744
HAMMER-HUBER	CHRISTIAN	17550 PARKSIDE DR	N ROYALTON	OH	44133-5416	440.877.9717
ROBERTS	MICHAEL	18 N WALNUT ST	MANSFIELD	OH	44902-1706	419.521.4406
MOLLER	RICHARD	1925 NEWARK GRANVILLE RD	GRANVILLE	OH	43023-9153	740.587.1592
DAUGHERTY	MATTHEW	1991 CROCKER RD STE 300	WESTLAKE	OH	44145-6970	440.871.6501
MALASKA	GEORGE	2 SUMMIT PARK DR. STE 240	INDEPENDENCE	OH	44131-2574	216.520.3552
RENCH	DANIEL	20 SOUTH LN	TROY	OH	45373-2549	937.335.2437
BARKLEY	ANDREW	20033 DETROIT RD STE 202	ROCKY RIVER	OH	44116-2400	440.799.8300
CHAPMAN	LINDSEY	215 N ELIZABETH ST	LIMA	OH	45801-4302	419.222.8291
BEDDIE	GEORGE	225 PICTORIA DR STE 110	CINCINNATI	OH	45246-1616	513.346.1767
FIDDER	JOHN	225 PICTORIA DR STE 110	CINCINNATI	OH	45246-1616	513.346.1737
KEC	CHRISTOPHER	2250 LEVIS COMMONS BLVD	PERRYSBURG	OH	43551-7142	419.354.1948
WALKER	CHRISTOPHER	2250 LEVIS COMMONS BLVD	PERRYSBURG	OH	43551-7142	419.354.1948
KUNOS	DANIEL	2250 LEVIS COMMONS BLVD	PERRYSBURG	OH	43551-7142	419.354.1948
MULLENBROCK	CRAIG	228 W ASH ST PO BOX 312	PIQUA	OH	45356-0312	937.773.8500
SCHMITT	JAMES	22901 MILLCREEK BLVD STE 375	CLEVELAND	OH	44122-5724	216.514.7100
PLYS	DARRIN	22901 MILLCREEK BLVD STE 375	CLEVELAND	OH	44122-5724	216.514.7100
ROGERS	THOMAS	22901 MILLCREEK BLVD STE 375	CLEVELAND	OH	44122-5724	216.514.7100
JOHNSON	JAMES	250 W OLD WILSON BRIDGE ROAD SUITE 150	WORTHINGTON	OH	43085-2215	614.396.4007
ESPOSITO	ERIC	255 EXECUTIVE DR	MARION	OH	43302-6307	740.387.8402
PALOTAS	JOHN	26 S WESTON RD	TROY	OH	45373-2664	937.339.1004
MARTIN	SUZANNE	2727 N HOLLAND SYLVANIA RD STE K	TOLEDO	OH	43615-1800	419.725.9223
STIEGELE	BEVERLY	27500 DETROIT ROAD SUITE 200	WESTLAKE	OH	44145-5913	440.527.0406
LAKE	JOSHUA	2835 MIAMI VILLAGE DR STE 101	MIAMISBURG	OH	45342-4917	937.312.8172
KOTA	JEFFREY	290 E MILLTOWN RD STE C	WOOSTER	OH	44691-6107	330.263.1930
THOMASSON	CHARLES	29425 CHAGRIN BLVD STE 270	PEPPER PIKE	OH	44122-4602	216.464.3140
BELL	DOUGLAS	2963 BLUE JACKET CT	LIMA	OH	45806-1464	419.227.4466
SACKETT	WILLIAM	2963 BLUE JACKET CT	LIMA	OH	45806-1464	419.227.4466
SCHRAGER	PHILIP	3015 NEWMARK DR	MIAMISBURG	OH	45342-5418	937.312.8184
LOWE	DAVID	3015 NEWMARK DR	MIAMISBURG	OH	45342-5418	937.247.2376
AKERS	SCOTT	3045 NEWMARK DR	MIAMISBURG	OH	45342-5418	937.853.2600
PERICLEOUS	THEOPHANIS	3045 NEWMARK DR	MIAMISBURG	OH	45342-5418	937.853.2600
CHAUDHRY	NEERJA	3045 NEWMARK DR	MIAMISBURG	OH	45342-5418	937.853.2610
MOENTER	JENNIFER	312 N MAIN STREET	DELPHOS	OH	45833-1574	419.695.7010
COTTLE	MARC	313A BIERLY RD	PORTSMOUTH	OH	45662-8805	740.354.2401
SHORTREED	THOMAS	3378 STATE ROUTE 5	CORTLAND	OH	44410-1627	330.638.5525
LILLIS	BRIAN	3860 RACE RD STE 204	CINCINNATI	OH	45211-4307	513.347.8010
JAMES	DEXTER	3891 STATE RD	CUYAHOGA FLS	OH	44223-2641	216.798.2596

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Last	First	Address	City	State	ZIP Code	Bus Phone
GALLAUGHER	CHRISTOPHER	400 W WILSON BRIDGE RD NO-280	WORTHINGTON	OH	43085-5222	614.848.3437
DERFLINGER	MICHAEL	400 W WILSON BRIDGE RD STE 280	WORTHINGTON	OH	43085-5222	614.848.3437
WOLFE	JASON	400 W WILSON BRIDGE RD STE 280	WORTHINGTON	OH	43085-5222	614.848.3437
VANNATTA	JEFFREY	4003 RHODES AVE	NEW BOSTON	OH	45662-5526	740.456.8297
CLEARY	DARRELL	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
MUSSER	JOSEPH	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
PEREZ	MICHAEL	445 HUTCHINSON AVE STE 200	COLUMBUS	OH	43235-5677	614.505.0865
PIERCE	RICHARD	445 HUTCHINSON AVE STE 500	COLUMBUS	OH	43235-8616	614.987.0087
CLEMENS	JASON	4481 MUNSON RD NW SUITE 304	CANTON	OH	44718-3681	330.493.0063
QUINONEZ	PATRICIA	4600 ROCKSIDE RD SUITE 200	INDEPENDENCE	OH	44131-2132	216.373.2700
PARKER	JON	4605 E GALBRAITH RD STE 190	CINCINNATI	OH	45236-2865	513.792.4380
SIFFEL	THEODORE	4605 E GALBRAITH RD STE 190	CINCINNATI	OH	45236-2865	513.792.5404
MACKEY	TIMOTHY	4605 E GALBRAITH RD STE 190	CINCINNATI	OH	45236-2865	513.792.5425
MCVAY	BRIAN	47443 NATIONAL RD W STE 2	ST CLAIRSVLE	OH	43950-8804	740.296.5672
GRISAK	BRYAN	4901 HUNT RD STE 201	BLUE ASH	OH	45242-6990	513.336.8580
HERMAN	AUBREY	4901 HUNT RD STE 201	BLUE ASH	OH	45242-6990	513.336.8580
SHULTS	JOSEPH	4901 HUNT RD STE 201	BLUE ASH	OH	45242-6990	513.336.8580
POL	JODY	5161 SALEM HILLS LANE	CINCINNATI	OH	45230-1365	513.231.3636
LOW	KEVIN	525 WINDSOR PARK DR	DAYTON	OH	45459-4112	937.312.8185
PAVON	JOSHUA	525 WINDSOR PARK DR	DAYTON	OH	45459-4112	937.312.8185
GILBERT	JEFFREY	530 W SPRING ST STE 150	COLUMBUS	OH	43215-5374	614.643.1676
MCCOY	SHAWN	530 W SPRING ST STE 150	COLUMBUS	OH	43215-5374	614.621.2639
ELGIN	JOHN	5399 LAUBY RD STE 115	NORTH CANTON	OH	44720-1554	330.433.2840
LUCAS	KEITH	56 METRIC DR	TALLMADGE	OH	44278-2337	330.633.9244
CLARK	JOHN	5650 BLAZER PKWY STE 136	DUBLIN	OH	43017-3562	614.588.0300
BRUNOT	GREGORY	5650 BLAZER PKWY SUITE 136	DUBLIN	OH	43017-3562	614.588.0300
EMERY	BRIAN	5887 CORNELL RD STE 3	BLUE ASH	OH	45242-2041	513.469.7526
SLUSS	DAVID	5911 RENAISSANCE PI STE A	TOLEDO	OH	43623	419.724.3899
WAGONER	WILLIAM	5954 RENAISSANCE PL STE D	TOLEDO	OH	43623-4717	419.842.8488
SNYDER	CATHY	5954 RENAISSANCE PLACE STE B	TOLEDO	OH	43623-4717	419.725.9218
RIGGLE	JOHN	6011 RENAISSANCE PL STE 1	TOLEDO	OH	43623-4721	419.841.5405
LUEDTKE	RICHARD	6011 RENAISSANCE PL STE 1	TOLEDO	OH	43623-4721	419.841.5405
JOHNSON	JEFFREY	6011 RENAISSANCE PLACE STE 2	TOLEDO	OH	43623-4721	419.882.1948
ROBOECKI	CHRISTOPHER	6100 OAK TREE BLVD STE 105	INDEPENDENCE	OH	44131-6954	216.674.3112
MC CLAIN	ROBERT	6393 OAK TREE BLVD STE 200	INDEPENDENCE	OH	44131-6963	216.447.8960
FELDMEYER	BEN	6500 CENTERVILLE BUSINESS PKWY	DAYTON	OH	45459-2685	937.610.5570
FERRARO	ROBERT	6599 SEVILLE DR STE 100	CANFIELD	OH	44406-7010	330.967.0015
OCKAJIK	STEVEN	6964 SPINACH DR	MENTOR	OH	44060-4958	440.205.0747
POLOMSKY	DARRIN	7501 E PARAGON RD STE 204	DAYTON	OH	45459-5323	937.291.3685
BLEICHNER	SHERRI	8008 N HIGH ST STE 150	COLUMBUS	OH	43235-6440	614.310.0507
SHULACK	WILLIAM	81 MILL ST STE 100	GAHANNA	OH	43230-4255	614.310.0501
CHADDOCK	JEFFERY	81 MILL ST STE 100	GAHANNA	OH	43230-4255	614.269.0195
GOUVERNAYRE	ELIZABETH	836 W S BOUNDARY ST STE 2B	PERRYSBURG	OH	43551-5640	419.874.6923
LANDY	STEVEN	8710 CLEVELAND AVE NW	NORTH CANTON	OH	44720-4827	330.595.1700
HAMILTON	BRIAN	8710 CLEVELAND AVE NW	NORTH CANTON	OH	44720-4827	330.595.1700
ALEXANDER	JOHN	90 HIDDEN RAVINES DR	POWELL	OH	43065-8736	614.396.3800
CARBETTA	PAUL	90 HIDDEN RAVINES DR	POWELL	OH	43065-8736	614.396.3800
GLOWKA	NICOLE	9100 CENTRE POINT DR STE 180	WEST CHESTER	OH	45069-4856	513.642.2508
PARISO	KELLY	972 E TURKEYFOOT LAKE RD	AKRON	OH	44312-5241	330.595.4321
GEDERT	JASON	99 ASHWOOD DR STE A	TIFFIN	OH	44883-1909	419.448.8215
METZLER	BART	225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.346.1738
BROUGHTON	MICHAEL	225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.346.1781
MORGER	MICHAEL	225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.346.1766
HAWKINS	STEPHEN	225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.346.1728
WHITT	BARRY	225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.931.5400
ZAG	LYNN	250 OLD WILSON BRDG RD STE 150	WORTHINGTON	OH	43085-2215	614.396.4025
GOUBEUX	JAIME	250 OLD WILSON BRDG RD STE 150	WORTHINGTON	OH	43085-2215	614.396.4035
DALEY	STEPHEN	250 OLD WILSON BRDG RD STE 150	WORTHINGTON	OH	43085-2215	614.396.4006
DAUGHERTY	MICHAEL	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
LLAMAS	ROMERO	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
VALENTINE	DAVID	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
SIEVERTS	SCOTT	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
GNANDT	CHRIS	4383 EXECUTIVE CIR NW	CANTON	OH	44718-2999	330.497.5304
GOODALL	GEORGE	STE 104	MASON	OH	45040-1897	513.322.5611
SHELLEY	BARRY	STE 180	WEST CHESTER	OH	45069-3885	513.642.2503
STILLMAN	DENIS	STE 1 1251 NILLES RD	FAIRFIELD	OH	45014-7205	513.939.2170
SMELTZER	PHILLIP	STE 100 18 W STATE ST	ATHENS	OH	45701-2567	740.594.1300
FOREMAN	PETER	STE 100 239 E COLUMBIA ST	SPRINGFIELD	OH	45503-4210	937.323.8667
HANNA	JAMES	STE 100 239 E COLUMBIA ST	SPRINGFIELD	OH	45503-4210	937.323.8667
GABEL	JANET	STE 101 15 BISHOP DR	WESTERVILLE	OH	43081-2273	614.426.4494
STEFANOFF	JAMES	STE 101 8801 N MAIN STREET	DAYTON	OH	45415-1380	937.240.0874
SHULTZ	MARIE	STE 109 1604 E PERKINS AVE	SANDUSKY	OH	44870-5123	419.624.0606
MATTHEWS	JOEL	STE 109 4137 BOARDMAN CANFIELD RD	CANFIELD	OH	44406-8088	330.286.0455
ROMAN	GEORGE	STE 109 4137 BOARDMAN CANFIELD RD	CANFIELD	OH	44406-8088	330.286.0455
PATTON	HUGH	STE 110 225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.346.1776
SUTTON	MARK	STE 110 225 PICTORIA DR	CINCINNATI	OH	45246-1616	513.346.1771
KATIGBAK	RONALD	STE 120 219 E MAPLE ST	NORTH CANTON	OH	44720-2590	330.327.8123
UNGER	JAMES	STE 150 250 W OLD WILSON BRIDGE RD	WORTHINGTON	OH	43085-2215	614.733.0948
COOKSTON	KAREN	STE 150 250 W OLD WILSON BRIDGE RD	WORTHINGTON	OH	43085-2215	614.396.4028
ROTHSTEIN	MICHAEL	STE 150 530 W SPRING	COLUMBUS	OH	43215-5374	614.643.1680

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Last	First	Address	City	State	ZIP Code	Bus Phone
BUEHNER	JASON	STE 150 530 W SPRING ST	COLUMBUS	OH	43215-5374	614.621.2639
RANDALL	MARK	STE 150 530 W SPRING ST	COLUMBUS	OH	43215-5374	614.621.2639
ROMER-JORDAN	RYAN	STE 150 530 W SPRING ST	COLUMBUS	OH	43215-5374	614.621.2639
MC LURG	MARGARET	STE 150 6265 EMERALD PKWY	DUBLIN	OH	43016-3241	614.389.5017
EASTMAN	PAUL	STE 150 8008 N HIGH ST	COLUMBUS	OH	43235-6440	614.310.0501
MARSH	VICKI	STE 190 4605 E GALBRAITH RD	CINCINNATI	OH	45236-2865	513.792.2919
VACLAV	DOUGLAS	STE 1A 7010 SOUTH AVE	YOUNGSTOWN	OH	44512-3603	330.965.6370
DINARD	JEFFREY	STE 1A 7010 SOUTH AVE	YOUNGSTOWN	OH	44512-3603	330.965.2495
WALSH	TIMOTHY	STE 2 3174 MACK RD	FAIRFIELD	OH	45014-5369	513.874.6600
HARSH	JASON	STE 2 6011 RENAISSANCE PLACE	TOLEDO	OH	43623-4721	419.882.1948
FAGGIONATO	KEITH	STE 2 6011 RENAISSANCE PLACE	TOLEDO	OH	43623-4721	419.882.1948
CLOSE	KENNETH	STE 2 6011 RENAISSANCE PLACE	TOLEDO	OH	43623-4721	419.882.1948
SCAFIDI	ROSALIE	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.1524
ZIEGLER	FRANK	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.8960
FREDERICK	STEVEN	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.8960
LA BANC	PAUL	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.8960
COLLIER	JOHN	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.8960
OSTER	TOBIAS	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.8960
MCMAN	APRIL	STE 200 6393 OAK TREE BLVD	INDEPENDENCE	OH	44131-6963	216.447.8960
OGILVIE	ANDREW	STE 225 123 S BROAD ST	LANCASTER	OH	43130-4397	740.687.0973
GOGGANS	WALTER	STE 240 2 SUMMIT PARK DR	INDEPENDENCE	OH	44131-2574	216.283.5709
EDWARDS	SCOTT	STE 240 4404 BUCKEYE LN	BEAVERCREEK	OH	45440-3164	937.458.0220
WAGNER	SUSAN	STE 2B 836 W SOUTH BOUNDARY ST	PERRYSBURG	OH	43551-5640	419.873.2639
PINTO	BRIAN	STE 300 1991 CROCKER RD	WESTLAKE	OH	44145-6970	440.541.0055
ZHANG	ANNIE	STE 300 3250 W MARKET ST	FAIRLAWN	OH	44333-3321	330.475.7058
LAKE	BRIAN	STE 304 4481 MUNSON RD NW	CANTON	OH	44718-3681	330.493.0063
BERRY	R MICHAEL	STE 304 4481 MUNSON RD NW	CANTON	OH	44718-3681	330.493.0063
LAPINTO	ANTHONY	STE 304 4481 MUNSON RD NW	CANTON	OH	44718-3681	330.493.0063
MONFORT	MICHAEL	STE 304 4481 MUNSON RD NW	CANTON	OH	44718-3681	330.493.0063
STUCKEY	JOHN	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.312.8075
GINTER	RONALD	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.312.8333
BRESSLER	KEVIN	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.312.8008
SOUTHARD	CHARLES	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.433.0233
LINDSTROM	THOMAS	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.433.0233
RINEHART	SAM	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.433.0233
DAYHOFF	ERIK	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.312.8001
BOWMAN	RICK	STE 310 10050 INNOVATION DR	MIAMISBURG	OH	45342-4967	937.433.0233
GOSA	RODERICK	STE 326 7588 CENTRAL PARKE BLVD	MASON	OH	45040-6860	513.204.1569
TOKMAZEYSKY	MICHAEL	STE 375 22901 MILL CREEK BLVD	CLEVELAND	OH	44122-5724	216.514.7100
HERMAN	MICHAEL	STE 375 22901 MILLCREEK BLVD	HIGHLAND HLS	OH	44122-5724	216.514.7100
SKRBIS	ROBERT	STE 375 22901 MILLCREEK BLVD	HIGHLAND HLS	OH	44122-5724	216.514.7100
CIANCIOLO	MICHAEL	STE 375 22901 MILLCREEK BLVD	HIGHLAND HLS	OH	44122-5724	216.514.7100
FISH	RUSSELL	STE 420 8425 PULSAR PL	COLUMBUS	OH	43240-2079	614.846.7193
HASSON	DARIN	STE 5 965 WINDHAM CT	YOUNGSTOWN	OH	44512-5088	330.729.1096
SATTERWHITE	DAVID	STE 6 621 WOOSTER PIKE	TERRACE PARK	OH	45174-1059	513.239.5206
HANDEL	BRADLEY	STE 8 940 WINDHAM CT	YOUNGSTOWN	OH	44512-5060	330.729.0173
FLOGGE	NANCY	STE A 1315 CORPORATE DR	HUDSON	OH	44236-4453	330.650.2550
SHIVELY	CYNTHIA	STE A 3010 STATE ROUTE 5	CORTLAND	OH	44410-9110	330.638.5514
FRYER	MARK	STE A 3418 RIDGEWOOD RD	FAIRLAWN	OH	44333-3120	330.864.1250
FLINNER	JOE	STE A 36350 DETROIT RD	AVON	OH	44011-1506	440.934.7100
DESAUTELS	RICHARD	STE A 5911 RENAISSANCE PL	TOLEDO	OH	43623-4727	419.885.2978
MALHOIT	BARBARA	STE A 5954 RENAISSANCE PL	TOLEDO	OH	43623-4717	419.725.9213
AUSTRIA	DANIEL	STE A 67 MARYDALE DR	BEAVERCREEK	OH	45440-2358	937.431.9224
MILANO	FRANCES	STE A 67 MARYDALE DR	BEAVERCREEK	OH	45440-2358	937.431.9224
HUNSAKER	ROBERT	STE A 67 MARYDALE DR	BEAVERCREEK	OH	45440-2358	937.431.9224
LALLI	MARY	STE A202-B 8972 DARROW RD	TWINSBURG	OH	44087-2189	330.486.0777
DAVENPORT-YANT	MARY	STE B 1234 RIDGEWOOD DR	BOWLING GREEN	OH	43402-2655	419.354.6179
NOWE	ROBERT	STE B 5860 VENTURE DR	DUBLIN	OH	43017-6137	614.389.3400
CONVERY	PATRICK	STE B 5954 RENAISSANCE PL	TOLEDO	OH	43623-4717	419.725.9219
KAIMAL	BALARAM	STE C 2104 FRONT ST	CUYAHOGA FALLS	OH	44221-3259	330.256.1375
SHERMAN	ROBERT	STE C 2104 FRONT ST	CUYAHOGA FALLS	OH	44221-3259	330.922.4710
BECKER	GREGG	STE H 6060 RENAISSANCE PL	TOLEDO	OH	43623-4725	419.725.9211
RUPPEL	JOHN	STE K 2727 N HOLLAND SYLVANIA RD	TOLEDO	OH	43615-1800	419.725.9222
PRICE	MICHAEL	STE K 2727 N HOLLAND SYLVANIA RD	TOLEDO	OH	43615-1800	419.842.8428
WESTERMEYER	DONALD	SUITE 110 225 PICTORIA DRIVE	CINCINNATI	OH	45246-1616	513.671.4636
TITUS	THOMAS	SUITE 1A 970 WINDHAM CT	YOUNGSTOWN	OH	44512-5082	330.333.7643
TOLBERT	ERIC	THE HANNA BLDG STE 1564 1422 EUCLID AVE	CLEVELAND	OH	44115-1902	216.373.7526
GLEASON	JAMES	UNIT 280 400 W WILSON BRIDGE RD	WORTHINGTON	OH	43085-5222	614.848.3437
WAUGH	CHUCK	13 NW 44TH ST	LAWTON	OK	73505-5901	580.355.9780
GAYDEN	GARY	16311 SONOMA PARK DR STE B	EDMOND	OK	73013-2107	405.830.5157
DONALDSON	LISA	2411 HERITAGE TRL STE 5	ENID	OK	73703-1604	580.234.1400
WILLIAMS	KYLE	3030 NW EXPRESSWAY STE 1400	OKLAHOMA CITY	OK	73112-5433	405.605.0224
GRAHAM	LARRY	3057 N HIGHWAY 81	DUNCAN	OK	73533-8924	580.255.2000
ENMEIER	TROY	410 S JACKSON	ENID	OK	73701-5442	580.237.3057
MCCORD	MARK	4200 E SKELLY DR STE 1015	TULSA	OK	74135-3241	918.295.5895
KEOWN	JOHN	4200 E SKELLY DR STE 1015	TULSA	OK	74135-3241	918.748.8191
LINN	ROBERT	4765 E 91ST ST STE 150	TULSA	OK	74137-2844	918.794.4203
BROCK	BRANDT	5018 E 68TH ST FL 1	TULSA	OK	74136-3367	918.270.1999
QUINTANAR	KIMBERLY	5224 E 69TH PL	TULSA	OK	74136-3407	918.949.4243
BOECKMAN	DANIEL	5400 N GRAND BLVD STE 410	OKLAHOMA CITY	OK	73112-5689	405.942.3766

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Last	First	Address	City	State	ZIP Code	Bus Phone
WOODY	MARK	581 MERCHANT DR	NORMAN	OK	73069-6575	405.360.8836
HUNT	THOMAS	7 E 3RD ST	GROVE	OK	74344-7034	918.921.4800
SMITH	BRUCE	701 SW JENNINGS AVE	BARTLESVILLE	OK	74003-4627	918.337.2772
KARIMIAN	DAVID	7712 S YALE SUITE 240	TULSA	OK	74136-8226	918.388.2009
HAUGEN	DAVID	8801 S YALE AVE STE 120	TULSA	OK	74137-3575	918.388.2002
MARKS	JULIE	9104 N KELLEY AVE	OKLAHOMA CITY	OK	73131-2418	405.286.4300
MC GARRAUGH	DREW	16311 SONOMA PARK DR STE B	EDMOND	OK	73013-2091	405.705.5907
BROCK	BEAU	FL 1 5018 E 68TH ST	TULSA	OK	74136-3367	918.270.1999
STROUD	MICHAEL	STE 240 7712 S YALE AVE	TULSA	OK	74136-8226	918.388.2005
PROVENZANO	DAVID	STE 250 7712 S YALE AVE	TULSA	OK	74136-8267	918.388.2004
THOMPSON	KELLY	STE 410 5400 N GRAND BLVD	OKLAHOMA CITY	OK	73112-5689	405.942.3766
JANZEN	STEPHEN	STE A 6420 N SANTA FE AVE	OKLAHOMA CITY	OK	73116-9113	405.286.5111
COPENHAVER	WILLIAM	STE B 16311 SONOMA PARK DR	EDMOND	OK	73013-2107	405.705.5907
ZIEMBA	SHEREE	SUITE 240 7712 S YALE AVE	TULSA	OK	74136-8226	918.794.4268
JOCHIM	BRANDON	0110 SW BANCROFT ST STE A	PORTLAND	OR	97239-4062	503.650.7949
LYMAN	KRISTIN	10220 SW GREENBURG RD STE 120	PORTLAND	OR	97223-5547	971.544.7675
KORB	ALBERT	10260 SW GREENBURG RD STE 1170	PORTLAND	OR	97223-5521	503.477.7362
HORIUCHI	RICK	10260 SW GREENBURG RD STE 950	PORTLAND	OR	97223-5579	503.892.1340
WILSON	RICHARD	119 NW E ST	GRANTS PASS	OR	97526-2009	541.476.8573
LAWLER	WILLIAM	124 NW FRANKLIN AVE	BEND	OR	97703-2908	541.388.1877
CARROLL	STEPHEN	124 NW FRANKLIN AVE	BEND	OR	97703-2908	541.388.1877
DWYER	ERIN	16037 SW UPPER BOONES FERRY RD STE 175	PORTLAND	OR	97224-7788	503.245.5352
STEAGALL-CISSELL	LAURA	1742 WILLAMETTE FLS DR	WEST LINN	OR	97068-4546	503.655.5883
AUSTRIA-KENNEY	THERESA	1800 BLANKENSHIP RD STE 200	WEST LINN	OR	97068-4174	503.905.6481
MARSHALL	JEFF	1800 BLANKENSHIP RD STE 244	WEST LINN	OR	97068-4172	503.723.9636
JOHANNSEN	SUZANNE	214 SE VINE LN	BEND	OR	97702-1622	541.389.2528
HALL	MICHAEL	2292 OAKMONT WAY	EUGENE	OR	97401-5519	541.684.9000
DONETH	JASON	235 FRONT ST SE STE 400	SALEM	OR	97301-3303	503.399.1333
STURDIVANT	JAMES	235 FRONT ST SE STE 400	SALEM	OR	97301-3303	503.399.1333
DEGNER	MARK	3523 ARROWHEAD DR STE 101	MEDFORD	OR	97504-7296	541.618.0693
KALIN	KEVIN	425 2ND ST STE 210	LAKE OSWEGO	OR	97034-3139	503.244.4253
CLARK	ANDREW	4380 S MACADAM AVE STE 310	PORTLAND	OR	97239-6405	503.808.9100
BOUNNAM	VIENG	4380 SW MACADAM AVE STE 180	PORTLAND	OR	97239-6404	503.546.2243
SUTHERLAND	CONSTANCE	480 SW HOFFMAN RD	WEST LINN	OR	97068-9502	503.723.9636
WILLIAMS	JOSEPH	5000 MEADOWS RD STE 450	LAKE OSWEGO	OR	97035-2254	503.595.2110
DAVIS	MIKEAL	528 COTTAGE STREET NE STE 300A	SALEM	OR	97301-3788	503.485.2980
RUEDIGER	DANIEL	5550 SW MACADAM AVE STE 102	PORTLAND	OR	97239-3772	503.595.9020
SALT	KRISTEN	600 NW NAITO PKWY UNIT D	PORTLAND	OR	97209-3701	503.595.0070
DESHAW	LEVI	6650 SW REDWOOD LN STE 160	PORTLAND	OR	97224-7184	503.655.7621
DOWNEY	SHAWN	6650 SW REDWOOD LN STE 160	PORTLAND	OR	97224-7184	503.655.7621
ERWIN	ERIC	777 N E 2ND ST STE G	CORVALLIS	OR	97330-6200	541.753.7554
BECK	ANDREW	777 NE 2ND STREET SUITE G	CORVALLIS	OR	97330-6200	541.286.4062
HERMANN	KODI	8215 SW TUALATIN SHERWOOD RD STE 200	TUALATIN	OR	97062-8620	503.963.3764
CAVENS	ROBERT	836 MILITARY AVE STE 105	ROSEBURG	OR	97471-2977	541.673.4518
EVERETT	DOUGLAS	920 SW 6TH AVE STE 260	PORTLAND	OR	97204-1207	503.446.4367
HILDEBRANDT	MARK	9370 SW GREENBURG RD				
		LINCOLN BLDG STE 411	PORTLAND	OR	97223-5442	503.546.7357
SKEDSVOLD	KARI	975 SE SANDY BLVD STE 210	PORTLAND	OR	97214-2296	503.450.0550
RUBINO	JUDY	975 SE SANDY BLVD STE 210	PORTLAND	OR	97214-2296	503.450.0550
RIERSON	GARY	STE 300A	SALEM	OR	97301-3862	503.371.1012
MARTINDALE	CHAD	STE 1 6500 SW BEAVERTON HLSDL HWY	PORTLAND	OR	97225-1400	503.439.1880
BRAKEL	JOSHUA	STE 1 6500 SW BEAVERTON HLSDL HWY	PORTLAND	OR	97225-1400	503.439.1880
TERRILL	WILLIAM	STE 100 7450 SW BEVELAND ST	PORTLAND	OR	97223-8678	503.808.1515
CARLSON	STEN	STE 101 2396 NW KINGS BLVD	CORVALLIS	OR	97330-3984	541.757.3000
BRODSKY	MATTHEW	STE 115 9665 SW ALLEN BLVD	BEAVERTON	OR	97005-4809	503.567.7874
AARON	STEPHEN	STE 115 9665 SW ALLEN BLVD	BEAVERTON	OR	97005-4809	503.619.4600
VAN ZANTE	DRAKE	STE 120 10220 SW GREENBURG RD	PORTLAND	OR	97223-5547	503.444.8288
POLLACK	ANDREW	STE 203 3939 NE HANCOCK ST	PORTLAND	OR	97212-5321	503.473.8180
HALL	CHRISTOPHER	STE 240 201 B AVE	LAKE OSWEGO	OR	97034-3191	503.635.8192
PRATT	TRAVIS	STE 240 201 B AVE	LAKE OSWEGO	OR	97034-3191	503.635.8192
FLYNN	ADINA	STE 324 1400 NW IRVING ST	PORTLAND	OR	97209-2242	503.517.1893
BUCZKOWSKI	GARY	STE 330 1700 NW CIVIC DR	GRESHAM	OR	97030-3776	503.674.2300
ABNEY	BRENT	STE 330 1700 NW CIVIC DR	GRESHAM	OR	97030-3776	503.674.2300
FORD	DARREN	STE 330 1700 NW CIVIC DR	GRESHAM	OR	97030-3776	503.674.2300
THOMSON	SHAWN	STE 360 2 CENTERPOINTE DR	LAKE OSWEGO	OR	97035-8627	503.620.7500
BUCKMASTER	JARED	STE 360 2 CENTERPOINTE DR	LAKE OSWEGO	OR	97035-8627	503.620.7500
MUELLER	CHRIS	STE 400 10260 SW GREENBURG RD	PORTLAND	OR	97223-5514	503.293.8408
GREGORY	JOSHUA	STE 450 5000 MEADOWS RD	LAKE OSWEGO	OR	97035-2254	503.595.2110
DONALDSON	DALE	STE 450 5000 MEADOWS RD	LAKE OSWEGO	OR	97035-2254	503.595.2110
CHALMERS	KALE	STE 450 5000 SW MDWS RD	LAKE OSWEGO	OR	97035-2254	503.595.2110
SCHOR	TIMOTHY	STE 5 2260 OAKMONT WAY	EUGENE	OR	97401-5524	541.484.2444
JURDEN	GARY	STE 5 2260 OAKMONT WAY	EUGENE	OR	97401-5524	541.484.2444
WELLE	ROBERT	STE 850 388 STATE ST	SALEM	OR	97301-3476	503.485.5204
VANDERPLOEG	DAVID	STE 925 825 NE MULTNOMAH ST	PORTLAND	OR	97232-2150	503.678.9909
FAWLEY	TREVOR	1 ALTOONA PL	MT LEBANON	PA	15228-1265	412.440.4480
LLOYD	MICHAEL	1 ALTOONA PL	MT LEBANON	PA	15228-1265	412.440.4480
SABOL	TIMOTHY	100 18TH STT STE 750	PHILADELPHIA	PA	19103	215.789.4962
SELDEN	AYESHA	100 N 18TH ST STE 750	PHILADELPHIA	PA	19103-2707	215.789.4964
JUE	TERRY	100 N 18TH ST STE 750	PHILADELPHIA	PA	19103-2707	215.789.4961
SACKER	DAVID	100 N 18TH ST STE 750	PHILADELPHIA	PA	19103-2707	215.789.4963

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JOHNSON	URSULA	1000 GERMANTOWN PIKE STE H1	PLYMOUTH MTNG	PA	19462-2488	484.533.6609
CLEARY	ROBERT	1000 GERMANTOWN PIKE STE H1	PLYMOUTH MTNG	PA	19462-2488	610.834.7385
BISHOP	WILLIAM	1000 GERMANTOWN PIKE STE H1	PLYMOUTH MTNG	PA	19462-2488	610.943.3102
SMITH	JEFFREY	1000 GERMANTOWN PIKE SUITE H-1	PLYMOUTH MTNG	PA	19462-2488	610.943.3101
ROSE	PAUL	101 S 3RD ST STE 205	EASTON	PA	18042-4524	610.438.5720
ROHRBAUGH	TODD	1014 HAIN RD	NEW FREEDOM	PA	17349-9195	717.755.2005
GASPER	ERIC	103 MAIN STREET	EYNON	PA	18403-1329	570.383.7525
BEST	MATTHEW	10365 RT 332	SHIPPENVILLE	PA	16254	814.227.2800
DE ROSA	PHILIP	1045 S CEDAR CREST BLVD	ALLENTOWN	PA	18103-5443	717.854.9997
NETZNIK	MICHAEL	1045 SOUTH CEDAR CREST BLVD	ALLENTOWN	PA	18103-5443	610.439.7000
O'NEILL	DENNIS	106 COMMONS COURT	CHADDS FORD	PA	19317-9708	610.459.2768
MARTIN	BRONWYN	107 W STATE ST	KENNETT SQ	PA	19348-3020	610.444.8312
DUFFIE	ANDRE	113 E EVANS ST STE C	WEST CHESTER	PA	19380-2664	484.887.0544
ARNOLD	KATHLEEN	117 VERONICA LN	LANSDALE	PA	19446-1498	215.997.0416
MCKINNON	JEFFREY	118 E 3RD ST STE B	BERWICK	PA	18603-3720	570.520.4137
WITHERS	GALE	12 HICKORY LN	TEMPLE	PA	19560-9756	610.743.5440
BANNON	KEVIN	125 N FRANKLIN ST	TITUSVILLE	PA	16354-1760	814.775.0424
HOLLOSCHUTZ	DON	1308 SPRUCE LANE	WYNCOTE	PA	19095-2108	215.572.8916
NOLT	C	1318 HYDE PARK DR	LANCASTER	PA	17601-7123	717.892.1000
PALMATIER	JANET	1450 MARTIN ST	STATE COLLEGE	PA	16803-3065	814.808.4750
MATTHEWS	VICTOR	1501 MEMORIAL HWY STE 3	TRUCKSVILLE	PA	18708-1493	570.696.4637
MORRISSEY	DANIEL	1536 CORNWALL RD	LEBANON	PA	17042-7403	717.270.6937
RIVERA	LUIS	1555 BROOKSIDE RD	WESCOSVILLE	PA	18106-9421	610.391.1883
VOROS	ANTHONY	1555 BROOKSIDE RD	WESCOSVILLE	PA	18106-9421	610.391.1883
AIELLO	ANTONIO	1570 OMEGA DR	PITTSBURGH	PA	15205-5004	412.922.7700
BROOKS	LISA	1570 OMEGA DR	PITTSBURGH	PA	15205-5004	412.922.7700
JUGAN	ANDREW	1570 OMEGA DR	PITTSBURGH	PA	15205-5004	412.922.7700
STUMPF	BRIAN	1570 OMEGA DR	PITTSBURGH	PA	15205-5004	412.922.7700
EPPS	BRADLEY	160 HERSHEY ROAD	ELIZABETHTOWN	PA	17022-8628	717.367.0494
MILLER	DAVID	1600 VALLEY VIEW BLVD	ALTOONA	PA	16602-6041	814.944.3572
TOWNSLEY	CHRISTOPHER	168 W RIDGE PIKE STE 202	LIMERICK	PA	19468-1774	610.825.4909
MUSCALUS	JOHN	1681 CROWN AVE	LANCASTER	PA	17601-6303	717.392.3600
TOFEL	DAVID	1704 W 26TH ST	ERIE	PA	16508-1234	814.456.7018
HINISH	JAY	1715 N JUNIATA ST PO BOX 401	HOLLIDAYSBURG	PA	16648-0401	814.695.2464
REIGH	DOUGLAS	1715 N JUNIATA ST PO BOX 401	HOLLIDAYSBURG	PA	16648-0401	814.696.6500
INGULLI	NINA	1717 LANGHORNE NEWTON RD STE 125	LANGHORNE	PA	19047-1002	267.759.6064
BECHTOLD	SCOTT	1717 LITITZ PIKE	LANCASTER	PA	17601-6509	717.431.2996
KAUFFMAN	JONAS	1717 LITITZ PIKE	LANCASTER	PA	17601-6509	717.431.2996
JURY	LON	1717 LITITZ PIKE	LANCASTER	PA	17601-6509	717.431.2996
OTERI	MARK	179 INTERCHANGE RD	LEHIGHTON	PA	18235-2824	610.377.0713
KRISKO	BARRY	1900 N MARKET ST	ELIZABETHTOWN	PA	17022-1133	717.361.0002
BALLARD	NORMAN	2 PITTSBURGH CIR	ELLWOOD CITY	PA	16117-2182	724.752.5252
KRISUK	MICHAEL	2021 E STATE ST	HERMITAGE	PA	16148-1868	724.652.7556
BAKER-SHUCK	CHRISTINE	206 2ND ST	HUNTINGDON	PA	16652-1404	814.644.6776
MAGLIARI	MASSIMO	2070 BUTLER PIKE	PLYMOUTH MTNG	PA	19462-1815	610.397.0997
KELMAN	ERIC	2070 BUTLER PIKE	PLYMOUTH MTNG	PA	19462-1815	610.397.0997
STOFFERE	JOHN	2070 BUTLER PIKE	PLYMOUTH MTNG	PA	19462-1815	310.948.1267
NAYLOR	JAMES	21 S WAYNE ST PO BOX 47	LEWISTOWN	PA	17044-0047	717.248.1577
HOOMAN	ARMIN	2100 GEORGETOWN DR STE 202	SEWICKLEY	PA	15143-8781	724.935.0200
MAKARCZYK	BRENT	22 S PROSPECT ST	NANTICOKE	PA	18634-2320	570.735.3788
REBICH	ELI	220 W PLUM ST STE 325	EDINBORO	PA	16412-2167	814.734.3433
BARLOW	ALAN	2250 HICKORY RD STE 110	PLYMOUTH MTNG	PA	19462-1047	610.828.1786
POACH	EDWARD	227 DEMAR BLVD	CANONSBURG	PA	15317-2270	724.916.2233
POL	ANTHONY	227 DEMAR BLVD	CANONSBURG	PA	15317-2270	724.916.2233
HENRY	TIMOTHY	232 W OTTERMAN ST	GREENSBURG	PA	15601-2263	724.600.0170
ALLEN	RICHARD	242 EAST MARKET ST	MIFFLINBURG	PA	17844-1416	570.966.3080
NEILL	CHRISTY	254 E GIRARD AVE STE 1	PHILADELPHIA	PA	19125-3978	215.982.2260
HELFRITCH	GARRETT	2790 MOSSIDE BLVD STE 620	MONROEVILLE	PA	15146-2767	412.646.1834
CARRETTA	MICHAEL	2790 MOSSIDE BLVD SUITE 620	MONROEVILLE	PA	15146-2767	724.519.7526
AUMENT	JEFFREY	28C EAST ROSEVILLE RD	LANCASTER	PA	17601-3869	717.869.6377
ESSIS	ANTHONY	28C EAST ROSEVILLE RD	LANCASTER	PA	17601-3869	717.869.6377
PENICA	JAY	2919 MARKET ST	CAMP HILL	PA	17011-4538	717.737.5455
PLACE	ROGER	2919 MARKET ST	CAMP HILL	PA	17011-4538	717.317.9185
YOUNG	WILLIAM	2ND FLOOR 70 OLD CLAIRTON ROAD	PLEASANT HILLS	PA	15236-3915	412.653.1630
DENISON	DIANNE	301 BROADWAY STE 200B	BETHLEHEM	PA	18015-1505	610.365.7646
HOFFMANN	MICHAEL	30A E ROSEVILLE RD	LANCASTER	PA	17601-3865	717.735.2332
TAYLOR	BRIAN	313 N MARKET ST	NEW WILMINGTON	PA	16142-1141	724.946.3271
MILLER	JAMES	314 EXTON CMNS	EXTON	PA	19341-2450	610.524.1200
GRAYBILL	THOMAS	314 EXTON COMNS	EXTON	PA	19341-2450	610.524.1200
RAPP	KENNETH	326 W CHOCOLATE AVE	HERSHEY	PA	17033-1664	717.533.4070
EASTWOOD	CRAIG	326 W CHOCOLATE AVE	HERSHEY	PA	17033-1664	717.533.4070
BOUCHARD	THOMAS	375 SOUTHPOINTE BLVD STE 230	CANONSBURG	PA	15317-8587	724.746.6975
HOBAN	JOYCE	398 S TOWNSHIP BLVD	PITTSTON	PA	18640-3420	570.333.4373
STEPHAN	SCOTT	3995 E MARKET ST	YORK	PA	17402-2773	717.735.2332
STICKNEY	THOMAS	3995 E MARKET ST	YORK	PA	17402-2773	717.751.2671
WILSON	MATTHEW	3995 E MARKET STREET	YORK	PA	17402-2773	717.755.2005
WHITNEY	CHERYL	4006 OLD WILLIAM PENN HWY	MURRYSVILLE	PA	15668-1823	724.325.2800
CALDWELL	ROBERT	4055 MONROEVILLE BLVD STE 430	MONROEVILLE	PA	15146-2522	800.439.6094
MCCULLOCH	DOUGLAS	407 W SOUTHERN AVE	S WILLIAMSPORT	PA	17702-7220	570.601.6800
MAYNOR	PAUL	415 MCFARLAN RD STE 215	KENNETT SQUARE	PA	19348-2454	610.828.1786

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Last	First	Address	City	State	ZIP Code	Bus Phone
GREEN	JAY	419 CHESTNUT ST	LEBANON	PA	17042-6142	717.273.6550
KENNY	THADDEUS	421 S STATE ST	CLARKS SUMMIT	PA	18411-1684	570.319.1214
FREE	JEROME	423 COLUMBIA AVE	LANSDALE	PA	19446-3503	215.362.2924
FRENZ	DONALD	425 S MAIN ST	WASHINGTON	PA	15301-6342	724.222.5203
LECKER	KATHERINE	4489 MT ROYAL BLVD	ALLISON PARK	PA	15101-2655	412.753.1001
WIZOV	RYAN	456 GERMANTOWN PIKE	LAFAYETTE HILL	PA	19444-1805	610.230.5078
REPKO	MATTHEW	456 GERMANTOWN PIKE	LAFAYETTE HILL	PA	19444-1805	484.533.6615
HENN	JEREMY	4641 POTTSVILLE PIKE STE 108	READING	PA	19605-9707	610.926.6649
GROVE	JOHN	4661 TRINDLE RD STE 400	CAMP HILL	PA	17011-5603	717.761.3600
GASKEY	EDWARD	4727 STATE ROUTE 30 STE 102	GREENSBURG	PA	15601-7270	724.337.4410
LANZALOTTO	LOUIS	48 HERON HILL DR	DOWNTOWN	PA	19335-1863	610.458.2493
BONDI	KEVIN	48 W OAKLAND AVE	DOYLESTOWN	PA	18901-4218	267.893.6920
SPECTORMAN	ARI	48 W OAKLAND AVE	DOYLESTOWN	PA	18901-4218	267.893.6920
FRANK	MATTHEW	48 W OAKLAND AVE	DOYLESTOWN	PA	18901-4218	267.893.6920
SHANTZ	DAVID	48 W OAKLAND AVE	DOYLESTOWN	PA	18901-4218	267.893.6920
MC DONOUGH	JOSEPH	480 PIERCE ST STE 214	KINGSTON	PA	18704-5512	570.235.6840
KOLOKITHAS	SOTIRIOS	4909 LOUISE DR STE 106	MECHANCSBRG	PA	17055-6900	717.441.4801
GRANITE	MATTHEW	4TH FLOOR 635 N 12TH ST	LEMOYNE	PA	17043-1225	717.975.0202
LOGUE	WAYNE	4TH FLOOR 635 N 12TH ST	LEMOYNE	PA	17043-1225	717.975.0202
WAYMAN	PATRICK	5 E GERMANTOWN PIKE	PLYMOUTH MTNG	PA	19462-1539	610.943.3110
BONEPARTH	ANDREW	5 E GERMANTOWN PIKE	PLYMOUTH MTNG	PA	19462-1539	561.322.3300
FRAZER	ARI	5 E GERMANTOWN PIKE	PLYMOUTH MTNG	PA	19462-1539	610.943.3113
SHONBRUN	HELEN	508 S FRONT STREET	PHILADELPHIA	PA	19147-1702	215.238.1029
PEERS	BRIAN	510 HIDDEN LANE	GILBERTSVILLE	PA	19525-9818	610.323.8435
BAIRD	JOSEPH	523 W CHOCOLATE AVE STE 100	HERSHEY	PA	17033-1629	717.534.9980
MINDICINO	FRANK	54 BUHL BLVD	SHARON	PA	16146-3706	724.981.1488
KRARUP	MICHAEL	5500 CORPORATE DR STE 215	PITTSBURGH	PA	15237-5848	412.318.2300
HOEY	MATTHEW	579 BALTIMORE PIKE	GLEN MILLS	PA	19342-1020	610.358.2565
LANDIS	MATTHEW	5917 MAIN ST	EAST PETERSBURG	PA	17520-1519	717.803.2212
HARDNETT	MARVA	600 W GERMANTOWN PIKE STE 400	PLYMOUTH MTNG	PA	19462-1046	610.940.1720
STABILE	RONALD	607 S 4TH ST	HAMBURG	PA	19526-1309	610.562.9497
SPORER	THOMAS	616 MAIN STREET STE 301	HONESDALE	PA	18431-1871	570.251.7907
BAKER	JOHN	652 W 6TH STREET	ERIE	PA	16507-1173	814.836.5234
GIFFIN	CARTY	668 STONY HILL RD	YARDLEY	PA	19067-4498	215.493.6800
NABASNY	RICHARD	668 STONY HILL RD	YARDLEY	PA	19067-4498	215.493.6800
HETRICK	ANDREA	67 COMMERCE DR STE 2	WYOMISSING	PA	19610-3323	484.577.4524
KRUGEL	KEVIN	720 WILKES BARRE TWP BLVD STE 100	WILKES BARRE	PA	18702-6180	570.829.7058
KRUGEL	JOSEPH	720 WILKES BARRE TWP BLVD SUITE 100	WILKES BARRE	PA	18702-6180	570.829.7058
HARDING	MICHAEL	728 SUELLEN DRIVE	KNG OF PRUSSA	PA	19406-1741	610.354.0336
DEL GOLETO	KENNETH	743 PIKE SPRINGS RD	PHOENIXVILLE	PA	19460-4743	484.302.5162
BONACCI CAREY	GINA	79 DUNDAFF ST	CARBONDALE	PA	18407-1801	570.282.0661
PENUGONDA	SHRINIVAS	790 PENLLYN BLUE BELL PIKE STE 300	BLUE BELL	PA	19422-1659	215.259.3421
KEITH	KENT	790 PENLLYN BLUE BELL PIKE STE 300	BLUE BELL	PA	19422-1659	888.789.6398
DAVIS	MICHAEL	8 E RIDGE ST	LANSFORD	PA	18232-1408	570.645.0318
BERTUOLA	RICHARD	8 W BLAINE ST	MCADOO	PA	18237-1531	570.929.2937
FIROUZAN	DAVID	808 NORTHRIDGE DRIVE	PITTSBURGH	PA	15216-1121	412.561.8875
JACKSON	DAVID	815 CANTON ST	TROY	PA	16947-1452	570.297.2612
STAUDENMAYER	EDWARD	855 SPRINGDALE DRIVE STE 100	EXTON	PA	19341-2853	610.594.6600
KRIEBEL	KENNETH	900 E PHILADELPHIA AVE	BOYERTOWN	PA	19512-1303	610.473.8850
CIOFFI	RONALD	932 WASHINGTON BLVD	WILLIAMSPORT	PA	17701-3632	570.322.1002
FIGURELLI	MICHAEL	BLDG 1	MONROEVILLE	PA	15146-2522	412.374.9515
MARTIN	ERIC	STE 210	PITTSBURGH	PA	15241-1042	412.831.6240
MARTIN	JONATHAN	STE 210	PITTSBURGH	PA	15241-1042	412.831.6240
RICHARDS	SCOTT	STE 211	ALLETOWN	PA	18104-9113	610.530.7222
MELI	STEPHEN	STE 211	ALLETOWN	PA	18104-9113	610.530.7222
HODGIN	RUSH	STE 215	PITTSBURGH	PA	15237-5848	412.318.2300
SPEAR	MEGAN	STE 600	PITTSBURGH	PA	15237-5829	412.635.5800
KOVALCHIK	ROBERT	STE 600	PITTSBURGH	PA	15237-5829	412.635.5800
KEJAS	JOHN	STE 600	PITTSBURGH	PA	15237-5829	412.635.5816
MARTIN FUSELIER	CHRISTINA	STE 600	PITTSBURGH	PA	15237-5829	412.635.5823
BURKHOLDER	DANE	STE A	LANCASTER	PA	17601-3866	717.735.2332
NOTARIANNI	JAMES	FL 2 1418 S 13TH ST	PHILADELPHIA	PA	19147-4918	215.454.2683
MAHAN	WILLIAM	LIBERTY STE 208 W 3RD AVE	WARREN	PA	16365-2332	814.726.3717
SLATER	GARY	STE 1 180 GOOD DR	LANCASTER	PA	17603-4359	717.735.6994
PRICE	RYAN	STE 1 180 GOOD DR	LANCASTER	PA	17603-4359	717.735.6991
MILEY	MICHAEL	STE 1 180 GOOD DR	LANCASTER	PA	17603-4359	717.392.3605
NAUMAN	GREGORY	STE 1 180 GOOD DR	LANCASTER	PA	17603-4359	717.735.6993
VERTERANO	ELIZABETH	STE 1 235 BEECHWOOD RD	NEW WILMNGTN	PA	16142-1416	724.946.0300
SONNTAG	JEFFREY	STE 1 235 BEECHWOOD RD	NEW WILMINGTON	PA	16142-1416	724.946.0300
PFISTER	JAMES	STE 1 55 ALBIE LN	EASTON	PA	18042-9513	610.559.7725
GUNDER	JEFFREY	STE 100 610 FREEDOM BUSINESS CTR DR	KING OF PRUSSIA	PA	19406-1329	610.992.1246
BURNLEY	LOUIS	STE 100 855 SPRINGDALE DR	EXTON	PA	19341-2853	484.879.6021
KOHLMAIER	G	STE 101 1681 CROWN AVE	LANCASTER	PA	17601-6303	717.392.3600
BRYTZ	DORIS	STE 102 6 KACEY CT	MECHANICSBURG	PA	17055-9244	717.697.2356
SANCHEZ	LOUIS	STE 102 941 FEDERAL CT	MEADVILLE	PA	16335-3232	814.333.1220
MORRISON	RICHARD	STE 103 5001 LOUISE DR	MECHANICSBURG	PA	17055-6912	717.761.3300
KITA	TERENCE	STE 106 400 CRESSON BLVD	OAKS	PA	19456-0660	484.392.7095
LYON	DAVID	STE 106 4909 LOUISE DR	MECHANICSBURG	PA	17055-6900	717.441.4801
HAUBER	THOMAS	STE 106 851 COMMERCE BLVD	DICKSON CITY	PA	18519-1762	570.489.4750
WALLACE	PETER	STE 107 800 W 4TH ST	WILLIAMSPORT	PA	17701-7200	570.322.8149

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NAVAZIO	LICIA	STE 108 5405 JONESTOWN RD	HARRISBURG	PA	17112-4021	717.877.7088
MASTROGIORGOS	GEORGE	STE 110 760 CONSTITUTION DR	EXTON	PA	19341-1149	610.458.0808
SHIMP	JOHN	STE 125 1717 LANGHORNE NEWTOWN RD	LANGHORNE	PA	19047-1002	610.825.4909
RUCKER	CHARLES	STE 140 2300 E LINCOLN HWY	LANGHORNE	PA	19047-3302	215.757.7600
NOTARIANNI	VINCENT	STE 140 2300 E LINCOLN HWY	LANGHORNE	PA	19047-3302	215.757.7600
BORSTEIN	AARON	STE 140 2300 E LINCOLN HWY	LANGHORNE	PA	19047-3302	267.202.0454
MURRAY	RYAN	STE 140 2300 E LINCOLN HWY	LANGHORNE	PA	19047-3302	215.757.7600
MARSHALL	WILLIAM	STE 140 2300 E LINCOLN HWY	LANGHORNE	PA	19047-3302	215.757.7600
MYERS	CHRISTOPHER	STE 140 3477 CORPORATE PKWY	CENTER VALLEY	PA	18034-8235	610.706.4510
MARCINIAK	STEVE	STE 140 3477 CORPORATE PKWY	CENTER VALLEY	PA	18034-8235	610.706.4510
ARBLASTER	JOHN	STE 2 1098 WASHINGTON CROSSING RD	WASHINGTON XING	PA	18977-1343	215.493.9711
HOLDERRIED	ANNE	STE 2 1098 WASHINGTON XING RD	WASHINGTON XING	PA	18977-1343	215.493.9711
STASKO	TIMOTHY	STE 2 4001 HOLLYWOOD BLVD	HAZLE TOWNSHIP	PA	18202-3374	570.454.4048
AMENTLER	RONALD	STE 2 4001 HOLLYWOOD BLVD	HAZLE TOWNSHIP	PA	18202-3374	570.454.4048
FRITZ	JOHN	STE 202 2100 GEORGETOWNE DR	SEWICKLEY	PA	15143-8781	724.935.0200
WEAVER	DONALD	STE 202 3800 MARKET ST	CAMP HILL	PA	17011-4305	717.975.5555
STEPHENSON	RYAN	STE 202 3800 MARKET ST	CAMP HILL	PA	17011-4305	717.975.5555
GREEN	DAVID	STE 204 835 SPRINGDALE DR	EXTON	PA	19341-2833	610.696.0499
MORRIS	KATHERINE	STE 205 7500 BROOKTREE RD	WEXFORD	PA	15090-9285	724.719.2888
KATARSKY	EDWARD	STE 210 100 N WILKES BARRE BLVD	WILKES BARRE	PA	18702-5255	570.825.7526
FORNEY	MICHAEL	STE 210 88 FT COUCH RD	PITTSBURGH	PA	15241-1042	412.831.6240
JOHNSON	JASON	STE 212 7540 WINDSOR DR	ALLENTOWN	PA	18195-1021	484.427.2111
KUHNS	BRIAN	STE 214 480 PIERCE ST	KINGSTON	PA	18704-5512	570.714.8181
TITUS	JOAN	STE 214 480 PIERCE ST	KINGSTON	PA	18704-5512	570.714.8160
BARTUSKA	REBECCA	STE 214 480 PIERCE ST	KINGSTON	PA	18704-5512	570.714.8162
LINK	JOHN	STE 230 375 SOUTHPOINTE BLVD	CANONSBURG	PA	15317-8587	724.746.6975
MC DEVITT	DANIEL	STE 230 610 FREEDOM BUSINESS CTR DR	KING OF PRUSSIA	PA	19406-1329	610.992.2480
SHIELDS	MARIA	STE 230 610 FREEDOM BUSINESS CTR DR	KING OF PRUSSIA	PA	19406-1329	610.992.2480
BENKOVICH	THOMAS	STE 300 4661 TRINDLE RD	CAMP HILL	PA	17011-5603	717.761.4208
MC CORT	KIERSTEN	STE 302 8500 BROOKTREE RD	WEXFORD	PA	15090-9287	724.799.8512
MARTIN	RALPH	STE 302 8500 BROOKTREE RD	WEXFORD	PA	15090-9287	724.799.8513
SPENCER	KENNETH	STE 330 1195 WASHINGTON PIKE	BRIDGEVILLE	PA	15017-2858	412.221.4002
JIM	JOHN	STE 350 865 EASTON RD	WARRINGTON	PA	18976-7802	267.483.5500
LEMELY	GERARD	STE 350 865 EASTON RD	WARRINGTON	PA	18976-7802	267.483.5500
BRUNO	ANTHONY	STE 350 865 EASTON RD	WARRINGTON	PA	18976-7802	267.483.5500
MISIEC	MARIUSZ	STE 4 1427 SPRUCE ST	PHILADELPHIA	PA	19102-4534	215.545.2119
CAMERA	GERALD	STE 400 1660 VLY CTR PKWY	BETHLEHEM	PA	18017-7800	610.865.5803
VISPERAS	LOURDES	STE 400 1660 VLY CTR PKWY	BETHLEHEM	PA	18017-7800	610.865.5803
KIDD	DAVID	STE 400 4661 TRINDLE RD	CAMP HILL	PA	17011-5603	717.761.3600
POWELL	RALPH	STE 430 4055 MONROEVILLE BLVD	MONROEVILLE	PA	15146-2522	412.374.9515
TREMAINE	MATTHEW	STE 600 5700 CORPORATE DR	PITTSBURGH	PA	15237-5851	412.635.5802
GORMAN	ROBERT	STE 610 101 W ELM ST	CONSHOHOCKEN	PA	19428-2015	484.533.6602
KRZYWICKI	STEVEN	STE 610 101 W ELM ST	CONSHOHOCKEN	PA	19428-2015	610.943.3117
ROBBINS	THOMAS	STE 610 101 W ELM ST	CONSHOHOCKEN	PA	19428-2015	610.834.7395
STEPHENSON	H	STE 610 101 W ELM ST	CONSHOHOCKEN	PA	19428-2015	610.629.6090
ORMAN	MATTHEW	STE 620 2790 MOSSIDE BLVD	MONROEVILLE	PA	15146-2767	412.646.1834
WHITEMAN	DAVID	STE 8 2134 SANDY DR	STATE COLLEGE	PA	16803-2292	814.237.4500
ZAPSKY	PATRICIA	STE 8 2134 SANDY DR	STATE COLLEGE	PA	16803-2292	814.237.4500
GARDNER	TIMOTHY	STE 850 3824 NORTHERN PIKE	MONROEVILLE	PA	15146-2175	412.374.7400
GABRIEL	EUGENE	STE 9 2080 W STATE ST	NEW CASTLE	PA	16101-1249	724.652.9470
ST PIERRE	KIMBERLY	STE A1 1000 GERMANTOWN PIKE	PLYMOUTH MTNG	PA	19462-2481	610.277.7500
MARTIN	CHRISTEN	STE A1 1000 GERMANTOWN PIKE	PLYMOUTH MTNG	PA	19462-2481	610.629.6058
LINT	TIMOTHY	STE B 244 W MAIN ST	LIGONIER	PA	15658-1130	724.238.0234
VULCAN	MARK	STE B 244 W MAIN ST	LIGONIER	PA	15658-1130	724.238.0234
WILLIAMS	THEODORE	STE E 30 E ROSEVILLE RD	LANCASTER	PA	17601-3865	717.431.0522
ZWARYCH	MARY	SUITE 211 5100 W TILGHMAN ST	ALLENTOWN	PA	18104-9102	610.530.7222
DZENDZEL	DAVID	SUITE 230 610 FREEDOM BUSINESS CENTER DR	KING OF PRUSSIA	PA	19406-1329	610.629.6055
EISENHUTH	MATTHEW	SUITE 620 2790 MOSSIDE BLVD	MONROEVILLE	PA	15146-2767	724.519.7526
CHAPMAN	WILLIAM	UNION SQUARE 46 DAVIS ST	BRADFORD	PA	16701-2016	814.368.9160
DEANGELIS	KEVIN	1000 CHAPEL VIEW BLVD STE 250	CRANSTON	RI	02920-3067	401.793.6576
DEHONEY	DANIEL	1000 CHAPEL VIEW BLVD STE 250	CRANSTON	RI	02920-3067	401.824.2530
KENDRA	HEATHER	1150 NEW LONDON AVE STE 100	CRANSTON	RI	02920-3036	401.572.3759
LANGTON	MICHAEL	135 QUAKER LN	N SCITUATE	RI	02857-1225	401.934.0617
FERREIRA	JOHN	150 MIDWAY RD STE 175	CRANSTON	RI	02920-5743	401.921.0558
GEER	WALTER	16 MATHUEW DR	JOHNSTON	RI	02919-1644	401.934.1807
GAMM	DANIEL	2155 DIAMOND HILL RD STE 2	CUMBERLAND	RI	02864-5102	401.681.4999
CAPUZZIELLO	PAUL	2155 DIAMOND HILL RD STE 3	CUMBERLAND	RI	02864-5102	401.334.0570
SMITH	BAXTER	26 VALLEY RD STE 101	MIDDLETOWN	RI	02842-6371	401.848.0380
MC GOWAN	WILLIAM	40 SPG VLY DR	E GREENWICH	RI	02818-1908	401.398.0532
GOBEILLE	ROSS	640 GEORGE WASHINGTON HWY				
		BLDG A SUITE 202	LINCOLN	RI	02865-4207	401.333.1444
ARRUDA	RAYMOND	640 GEORGE WASHINGTON HWY				
		BLDG A STE 202	LINCOLN	RI	02865-4244	401.642.2080
ZAMIL	JAMES	36 SHORELINE TERRACE	PORTSMOUTH	RI	02871-2019	401.683.6059
BRYAN	THOMAS	STE 102 400 MASSASOIT AVE	E PROVIDENCE	RI	02914-2017	401.434.1510
CONATY	JOSEPH	STE 110 300 JEFFERSON BLVD	WARWICK	RI	02888-3860	401.921.5000
DURKIN	SEAN	STE 110 300 JEFFERSON BLVD	WARWICK	RI	02888-3860	401.921.3688
RICCI	WAYNE	STE 2004 117 METRO CTR BLVD	WARWICK	RI	02886-1774	401.681.4615
NUTTING	PHILLIP	STE 2004 117 METRO CTR BLVD	WARWICK	RI	02886-1774	401.681.4621
BUCKNAM	STEPHEN	STE 2004 117 METRO CTR BLVD	WARWICK	RI	02886-1774	401.681.4616

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Last	First	Address	City	State	ZIP Code	Bus Phone
GIOFFREDA	DAVID	STE 2004 117 METRO CTR BLVD	WARWICK	RI	02886-1774	401.681.4611
DUFF	ROBERT	STE 2004 117 METRO CTR BLVD	WARWICK	RI	02886-1774	401.681.4612
MASSEUR	DONALD	STE 2004 117 METRO CTR BLVD	WARWICK	RI	02886-1774	401.681.4616
PETERS	SANDRA	STE 250 1000 CHAPEL VIEW BLVD	CRANSTON	RI	02920-3067	401.946.9905
HAGOPIAN	STEVEN	STE 250 1000 CHAPEL VIEW BLVD	CRANSTON	RI	02920-3067	401.383.4003
DI PALMA	PAUL	STE 250 1000 CHAPEL VIEW BLVD	CRANSTON	RI	02920-3067	401.946.9905
BATASTINI DELL'OVO	MARIA	STE 250 1000 CHAPEL VIEW BLVD	CRANSTON	RI	02920-3067	401.946.9905
CECERI	RICHARD	STE 250 1000 CHAPEL VW BLVD	CRANSTON	RI	02920-3067	401.946.9905
CROOK	MATTHEW	STE A6 24 SALT POND RD	WAKEFIELD	RI	02879-4311	401.782.9889
BLACKERBY	JAMES	STE B-3 730 KINGSTOWN RD	WAKEFIELD	RI	02879-3011	401.789.1120
SEITZ	SPENCER	STE B-3 730 KINGSTOWN RD	WAKEFIELD	RI	02879-3011	401.789.1120
DE NICOLA	THOMAS	STE D-12 35 S COUNTY COMMONS WAY	WAKEFIELD	RI	02879-8240	401.792.4910
BROCK	EDMUND	UNIT A6 24 SALT POND RD	WAKEFIELD	RI	02879-4311	401.788.0106
POLLOCK	THOMAS	100 SHORECREST DRIVE PO BOX 469	CLEMSON	SC	29633-0469	864.654.0837
CAROTHERS	RAYMOND	100 SHORECREST DRIVE POST OFFICE BOX 469	CLEMSON	SC	29633-0469	678.665.3110
RABON	LINDA	1002 BUCK ST	CONWAY	SC	29526-4119	843.488.2192
CARR	ISAAC	109 N MAIN ST	SUMTER	SC	29150-4947	803.934.1588
MC REE	WILLIAM	115 MCNUITY ST PO BOX 752	BLYTHEWOOD	SC	29016-0752	803.691.8181
HEAD	SAMUEL	119A PROFESSIONAL PARK DR	SENECA	SC	29678-2558	864.885.1045
NEWMAN	GREGG	121 ARROWWOOD RD	COLUMBIA	SC	29210-7501	803.731.5959
JOHNSEN	SUSAN	1211 JOHN B WHITE SR BLVD	SPTBG	SC	29306-3924	864.587.7500
GRIFFIN	MICHAEL	152 LAURENS ST NW	AIKEN	SC	29801-3846	803.641.2192
BRUNER	DOUGLAS	152 LAURENS ST NW	AIKEN	SC	29801-3846	803.641.2192
MUSIKER	JEFF	1601 N OAK ST STE 402	MYRTLE BEACH	SC	29577-3579	843.748.0845
PERRY	MATTHEW	1813 PICKENS ST	COLUMBIA	SC	29201-2630	803.750.9337
LANGFORD	KENNETH	201 E CAMPERDOWN WAY	GREENVILLE	SC	29601-2908	864.270.3285
BENNETT	JAMES	201 E CAMPERDOWN WAY	GREENVILLE	SC	29601-2908	864.239.0393
BARNES	JAMES	201 EAST CAMPERDOWN WAY	GREENVILLE	SC	29601-2908	864.370.7027
DE RHODO	DAVID	201 SIGMA DR STE 300	SUMMERVILLE	SC	29486-7722	843.594.3249
MARTIN	LAUCHIE	2411 N OAK ST STE 303	MYRTLE BEACH	SC	29577-3165	843.492.7701
MC GUIRE	FRANCIS	259 SEVEN FARMS DR STE 200	DANIEL ISLAND	SC	29492-8501	843.284.1237
MC LEOD	FRANK	311 MEETZE AVE	LEXINGTON	SC	29072-2625	803.808.3788
WESTMORELAND	RYAN	311 MEETZE AVE	LEXINGTON	SC	29072-2625	803.957.1912
JOHNSON	JOEL	3814 DYCHES RD	AIKEN	SC	29801-2814	803.502.1226
HUDDLESTON	MICHELE	465 WOODRUFF RD	GREENVILLE	SC	29607-3417	864.250.3000
KANAGY	KIMBERLY	592 CARDINAL DR	AIKEN	SC	29803-5937	803.642.0544
SHEORN	DOUGLAS	6 FISH HAUL RD PO BOX 61189	COLUMBIA	SC	29260-1189	803.782.2121
STOKES	WILLIAM	698 D BULTMAN DR	SUMTER	SC	29150-2549	803.775.5181
KAUKER	CHRIS	75 PORT CITY LNDG STE 110 PMB 4	MOUNT PLEASANT	SC	29464-4984	843.352.8287
WEST	MICHAEL	8 S POINSETT HWY	TRAVELERS REST	SC	29690-1822	864.565.8228
BUGAY	JOHN	803 ROPER CREEK DR	GREENVILLE	SC	29615-6938	864.292.3770
FLOYD	MICHAEL	845 POLO RD STE 1	COLUMBIA	SC	29223-1004	803.736.0740
JACKSON-GORHAM	NATASHA	1813 PICKENS ST	COLUMBIA	SC	29201-2630	803.750.9337
ALLEN	WALTER	FL 2 3103 DEVINE ST	COLUMBIA	SC	29205-1881	803.365.1442
HOBBS	VAN	STE 1 845 POLO RD	COLUMBIA	SC	29223-1004	803.419.1577
BRIGGS	MARCIAL	STE 1 845 POLO RD	COLUMBIA	SC	29223-1004	803.419.1577
CARTER	MICHAEL	STE 100 100 DUNBAR ST	SPARTANBURG	SC	29306-5186	864.316.0864
THOMPSON	THOMAS	STE 102 3441 PELHAM RD	GREENVILLE	SC	29615-4184	864.451.7890
LUCCIA	GIOVANNI	STE 103 3441 PELHAM RD	GREENVILLE	SC	29615-4184	864.770.0442
JOHNSON	GERALD	STE 1C 880 S PLEASANTBURG DR	GREENVILLE	SC	29607-2434	864.370.9222
TAPSCOTT	BRAD	STE 200 259 SEVEN FARMS DR	DANIEL ISLAND	SC	29492-8501	843.284.1237
NORRIS	JAMES	STE 200 331 E MAIN ST	ROCK HILL	SC	29730-5384	803.909.9346
MATUS	MICHAEL	STE 201 1701 FIRST BAXTER XING	FORT MILL	SC	29708-8980	803.792.4770
RUSH	JOHN	STE 328 1533 FORDING ISLAND RD	HILTON HEAD	SC	29926-1103	843.837.1220
HEIN	RUDOLF	STE 501 3015 DUNES WEST BLVD	MT PLEASANT	SC	29466-8221	843.654.9126
SHARP	JAMES	STE A 709 LONG POINT RD	MT PLEASANT	SC	29464-8287	843.971.0982
YOUNG	RICHARD	STE A 709 LONG POINT RD	MT PLEASANT	SC	29464-8287	843.971.0982
THOMPSON	J WAYNE	STE E-3 BTC 040 181 E EVANS ST	FLORENCE	SC	29506-5503	843.664.2835
CHOU	LESTER	STE O 100 S MAIN ST	SUMMERVILLE	SC	29483-6084	843.875.0564
HYDEN	JODY	SUITE 200 259 SEVEN FARMS DR	DANIEL ISLAND	SC	29492-8501	843.284.1237
CAPPS	BARRY	SUITE 305 2411 N OAK ST	MYRTLE BEACH	SC	29577-3165	843.444.0306
ISAKSON	MYRON	101 3RD AVE SW	ABERDEEN	SD	57401-4129	605.229.2073
STARR	MARLA	110 3RD ST SW STE 108	HURON	SD	57350-2432	605.352.0691
JAKOBER	CHARLES	1120 8TH AVE NE	ABERDEEN	SD	57401-3190	605.226.8220
KRAUSE	KENNETH	119 N MAIN ST	MITCHELL	SD	57301-3415	605.995.5950
DAGEL	SCOTT	1334 19TH ST NE	WATERTOWN	SD	57201-6799	605.886.4059
REED	DEBORAH	212 N EGAN AVE PO BOX 202	MADISON	SD	57042-0202	605.256.4774
LEYDEN	JOEL	214 E 2ND ST	WINNER	SD	57580-1306	605.842.3832
VOLIN	NICHOLAS	3710 S WEST AVE	SIOUX FALLS	SD	57105-6352	605.335.1693
BALLARD	STEVEN	383 W STEAMBOAT DR STE 103	DAKOTA DUNES	SD	57049-5390	605.232.6035
BELITZ	CHAD	5024 S BUR OAK PL STE 109	SIOUX FALLS	SD	57108-2237	605.731.1862
LEUTHOLD	GREGORY	5024 S BUR OAK PL STE 109	SIOUX FALLS	SD	57108-2237	605.731.1862
HARDIE	SCOTT	525 5TH ST SE STE 1	WATERTOWN	SD	57201-4977	605.878.1122
NORMAN	TED	709 MAIN STREET	RAPID CITY	SD	57701-2737	605.791.5321
MOORE	ROBERT	709 MAIN STREET	RAPID CITY	SD	57701-2737	605.791.5321
SCHAAP	GARY	905 W CEDAR ST PO BOX 306	BERESFORD	SD	57004-0306	605.763.2098
WAGNER	BRADLEY	STE 101 5120 S WESTERN AVE	SIOUX FALLS	SD	57108-2664	605.332.4600
MILLER	TODD	STE 101 5120 S WESTERN AVE	SIOUX FALLS	SD	57108-2664	605.367.1717
LARSEN	STEVEN	STE 102 4900 S MINNESOTA AVE	SIOUX FALLS	SD	57108-2865	605.367.1771
ELLIS	RANDY	STE 1B 4940 5TH ST	RAPID CITY	SD	57701-6026	605.348.3030

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LEADER	LORI	STE 2 115 BROADWAY AVE	YANKTON	SD	57078-4210	605.665.8608
WOLFF	PATRICK	STE 2 1839 W MAIN ST	RAPID CITY	SD	57702-2566	605.348.2415
PAVLIK	THOMAS	STE 2 317 BROADWAY AVE	YANKTON	SD	57078-4259	605.668.9155
POCHOP	JONATHAN	STE 2 646 E COLORADO BLVD	SPEARFISH	SD	57783-2778	605.642.1885
MILLER	BARBARA	STE 20 SIMCO PLAZA	HOT SPRINGS	SD	57747-1664	605.745.4900
HUNT	THIETJE	STE 208 2040 W MAIN ST	RAPID CITY	SD	57702-2446	605.399.2741
TORBETT	CRAIG	102 W SPRINGBROOK DR	JOHNSON CITY	TN	37604-1757	423.930.8959
HUDSON	CHARLES	1053 W REX RD	MEMPHIS	TN	38119-3800	901.683.6767
GILES	SCOTT	1053 W REX RD	MEMPHIS	TN	38119-3800	901.683.6767
GOIN	ROGER	108 W MAIN ST	KINGSPORT	TN	37660-4214	423.246.6200
DOUGLAS	DARRELL	138 TIMBER CREEK DR	CORDOVA	TN	38018-4234	901.312.5099
MACLIN	WILLIAM	138 TIMBER CREEK DR	CORDOVA	TN	38018-4234	901.312.5098
BABINA	SUSAN	138 TIMBER CRK DR	CORDOVA	TN	38018-4234	901.312.5087
SHAMOUN	JAMES	138 TIMBER CRK DR	CORDOVA	TN	38018-4234	901.312.5060
TERRY	JULIE	138 TIMBER CRK DR	CORDOVA	TN	38018-4234	901.312.5065
KEETON	DEREK	139 S CHARLES G SEIVERS BLVD	CLINTON	TN	37716-3927	865.463.9411
WALLACE	ROBERT	1408 CURRIER LANE	KNOXVILLE	TN	37919-8821	865.531.9185
BILADEAU	CAROL	1408 CURRIER LN	KNOXVILLE	TN	37919-8821	865.531.9185
FORBIS	GEORGE	1616 WESTGATE CIR	BRENTWOOD	TN	37027-8019	615.844.6126
WARD	GARY	1616 WESTGATE CIR	BRENTWOOD	TN	37027-8019	615.771.7717
STACEY	DAVID	1616 WESTGATE CIR	BRENTWOOD	TN	37027-8019	615.844.6125
ALLEN	CLYDE	1616 WESTGATE CIRCLE	BRENTWOOD	TN	37027-8019	615.844.6172
CRAIG	JAMES	1984 ROSEMARK RD STE C	ATOKA	TN	38004-7843	901.401.6890
TUCKER	JOHN	200 PROSPERITY DR	KNOXVILLE	TN	37923-4718	865.300.4085
KLEM	CALVIN	208 SUNSET DR STE 101	JOHNSON CITY	TN	37604-2572	423.283.9660
JENSEN	LARRY	213 OVERLOOK CIRCLE STE A2	BRENTWOOD	TN	37027-3303	615.234.7526
URQUHART	ELIZABETH	222 E MAIN ST	SEVIERVILLE	TN	37862-3533	865.428.0744
FREEMAN	WILLIAM	2220 AWARD WINNING WAY STE 100	KNOXVILLE	TN	37932-1995	865.588.0700
WHITE	RANDY	2220 AWARD WINNING WAY STE 100	KNOXVILLE	TN	37932-1995	865.693.4772
THETFORD	RANDALL	227 SOUTH 1ST STREET PO BOX 1051	UNION CITY	TN	38281-1051	731.885.2222
TRENTHAM	BRENT	371 FOUNTAIN VW CIR	ALCOA	TN	37701-1945	865.982.2653
PINKLETON	MARK	3993 MEMORIAL BLVD	SPRINGFIELD	TN	37172-4200	615.384.5066
SIMS	JAMES	412 GEORGIA AVE STE 210	CHATTANOOGA	TN	37403-1845	423.648.2900
JONES	PHILLIP	4509 PAPERMILL DR	KNOXVILLE	TN	37909-1969	865.212.2376
PHILLIPS	STEVEN	4509 PAPERMILL DR	KNOXVILLE	TN	37909-1969	865.212.2376
MORGAN	DUSTIN	5008 AUSTIN RD	HIXSON	TN	37343-3913	423.875.0140
PERRY	VINCENT	5100 POPLAR AVE STE 514	MEMPHIS	TN	38137-0514	901.312.7804
MC CUTCHEON	STEPHEN	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.424.3326
COUCH	DOUGLAS	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.424.3345
BLAINE	ROGER	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.424.4050
DUNHAM	DAVID	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.424.4050
HILLIARD	ROBERT	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.424.4058
STUART	WILLIAM	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.648.4400
SCOTCHIE	JAMES	6111 SHALLOWFORD RD STE 101	CHATTANOOGA	TN	37421-7800	423.424.3301
WALKER	KYLE	6341 MIDDLEBROOK PIKE	KNOXVILLE	TN	37909-1238	865.973.9713
TILLEY	GREGORY	6341 MIDDLEBROOK PIKE	KNOXVILLE	TN	37909-1238	865.973.9713
WELLS	KEVIN	6750 POPLAR AVE STE 206	MEMPHIS	TN	38138-7414	901.312.7806
CROUGH	DAWN	7047 LEE HWY STE 309	CHATTANOOGA	TN	37421-1999	423.424.3340
FLYNN	JAMES	7047 LEE HWY STE 309	CHATTANOOGA	TN	37421-1999	423.424.3335
BOSWELL	BRIAN	9037 POPLAR AVE STE 102	GERMANTOWN	TN	38138-7854	901.312.5069
JEFFERSON	TIMOTHY	9045 CAROTHERS PKWY STE 301	FRANKLIN	TN	37067-1774	615.349.2160
BOYKIN	TONY	751 COOL SPRINGS BLVD STE 200	FRANKLIN	TN	37067-2730	615.771.5278
CREECY	JOE	751 COOL SPRINGS BLVD STE 200	FRANKLIN	TN	37067-2730	615.771.5278
LAHEY	VANCE	751 COOL SPRINGS BLVD STE 200	FRANKLIN	TN	37067-2730	615.771.5278
ROBINS	MATTHEW	751 COOL SPRINGS BLVD STE 200	FRANKLIN	TN	37067-2730	615.771.5278
STAMATIS	NICHOLAS	751 COOL SPRINGS BLVD STE 200	FRANKLIN	TN	37067-2730	615.771.5278
WOODEND	ROBERT	9037 POPLAR AVE STE 102	GERMANTOWN	TN	38138-7854	901.312.5075
GILLEN	CHARLES	STE 1 22 PUBLIC SQ	COLUMBIA	TN	38401-3355	800.281.6574
KIEFER	ROGER	STE 1010 9724 KINGSTON PIKE	KNOXVILLE	TN	37922-6906	865.690.6169
KIRK	D	STE 102 9037 POPLAR AVE	GERMANTOWN	TN	38138-7854	901.312.5085
RIGGS	JODY	STE 140 1206 POINTE CTR DR	CHATTANOOGA	TN	37421-4669	423.648.0782
ABDELHADI	RAMI	STE 200 751 COOL SPRINGS BLVD	FRANKLIN	TN	37067-2730	615.771.5278
WULLER	DAVID	STE 200 751 COOL SPRINGS BLVD	FRANKLIN	TN	37067-2730	615.771.5278
AGRAWAL	SUDHIR	STE 204 3085 FOUNTAINSIDE DR	GERMANTOWN	TN	38138-7843	901.312.7805
PARRIDGE	ALVIN	STE 209 2158 NORTHGATE PARK LN	CHATTANOOGA	TN	37415-6959	423.870.2112
WARD	GREGORY	STE 301 1512 COLEMAN RD	KNOXVILLE	TN	37909-2828	865.588.0555
WRIGHT	TODD	STE 302A 109 S NORTHSHORE DR	KNOXVILLE	TN	37919-4925	865.591.0074
SMITH	PETER	STE 600 725 COOL SPRINGS BLVD	FRANKLIN	TN	37067-2702	615.312.8222
SWEENEY	JEREMY	STE 600 725 COOL SPRINGS BLVD	FRANKLIN	TN	37067-2702	615.312.8222
GOLAB	WILLIAM	STE A2 213 OVERLOOK CIRCLE	BRENTWOOD	TN	37027-3303	615.234.7526
CAMPBELL	GLENN	STE B 100 BLYTHEWOOD DR	COLUMBIA	TN	38401-4828	931.388.9768
SEXTON	JENNIFER	STE B 270 GLENIS DR	MURFREESBORO	TN	37129-5407	615.890.9411
WILLIAMS	ROGER	STE B 667 EMORY VALLEY RD	OAK RIDGE	TN	37830-7765	865.483.6669
KIRKWOOD	DAVID	STE C 683 EMORY VALLEY RD	OAK RIDGE	TN	37830-7746	865.482.1982
ROBERTS	JEFFREY	STE N-250 1111 NORTHSHORE DR	KNOXVILLE	TN	37919-4058	865.357.5000
OSGOOD	BRIAN	STE N-250 1111 NORTHSHORE DR	KNOXVILLE	TN	37919-4058	865.357.5000
STEVENS	MAC	STE N-250 1111 NORTHSHORE DR	KNOXVILLE	TN	37919-4058	865.357.5000
SMITH	DOUGLAS	SUITE A 2 213 OVERLOOK CIRCLE	BRENTWOOD	TN	37027-3303	615.234.7526
SHAHAN	BRUCE	SUITE A 2 213 OVERLOOK CIRCLE	BRENTWOOD	TN	37027-3303	615.234.7526
DUPRE	ERIC	100 NE LOOP 410 STE 970	SAN ANTONIO	TX	78216-4709	210.504.4300

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PATHAK	SANJAY	10000 MEMORIAL DR STE 460	HOUSTON	TX	77024-3409	713.954.4930
WEITZMAN	SERGIO	10000 MEMORIAL DR STE 460	HOUSTON	TX	77024-3409	713.954.4930
GUTIERREZ	EDUARDO	10000 MEMORIAL DR STE 460	HOUSTON	TX	77024-3409	713.954.4930
CHARLETON	DENNIS	103 PLANTATION DR	LAKE JACKSON	TX	77566-6128	979.297.0478
MONTANDON	JUSTIN	10415 MORADO CIR STE 2-100	AUSTIN	TX	78759-5698	512.744.4800
STEWART	RANDY	10415 MORADO CIRCLE BLDG 2 STE 100	AUSTIN	TX	78759-5698	512.744.4800
TRAVIS	RICHARD	115 N DIXIE DR STE 120	LAKE JACKSON	TX	77566-5958	979.297.3700
HENRY	GEORGE	11675 JOLLYVILLE RD STE 200	AUSTIN	TX	78759-4155	512.231.0725
BURNS	LETHE	11675 JOLLYVILLE RD STE 200	AUSTIN	TX	78759-4155	512.231.0725
SZEMBORSKI	PETER	11675 JOLLYVILLE RD STE 200	AUSTIN	TX	78759-4155	512.342.9503
ROSS	ERIC	11675 JOLLYVILLE RD STE 200	AUSTIN	TX	78759-4155	512.534.0323
HORST	STEPHEN	1200 S CEDAR ST PO BOX 5084	BORGER	TX	79008-5084	806.273.7800
HEFFERNAN	DAVID	1206 TYLER AVE	HARLINGEN	TX	78550-7140	956.423.1023
TURNER	PAMELA	1207 UNIVERSITY AVE	HUNTSVILLE	TX	77340-4632	936.295.7009
ADAMSON	NICHOLAS	1308 VILLAGE CREEK DR STE 2000	PLANO	TX	75093-4464	469.865.1031
TALLEY	KEVIN	13623 PERRY RD	HOUSTON	TX	77070-4248	281.894.0888
HIBBETT	GARY	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8000
MC INTYRE FIELDS	CHARLA	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8002
REIN	LISA	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8040
TREDWAY	TYLER	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8020
SMILEY	W	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8027
FAHIM	ART	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8024
BELLET	HOWARD	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8025
COLLUM	DAWN	1418 SIDNEY BAKER	KERRVILLE	TX	78028-2725	830.257.0406
KURKA	GEORGE	1428 W ALABAMA ST	HOUSTON	TX	77006-4071	713.521.0300
ZELLER	ALFREDO	1428 WEST ALABAMA ST	HOUSTON	TX	77006-4071	713.521.0300
CHURCH	GUY	1608 AIRPORT FWY STE 100	BEDFORD	TX	76022-6868	817.580.7000
GOUDEAU	PETER	16420 PARK TEN PL STE 580	HOUSTON	TX	77084-5097	832.356.3739
WOOD	BARRY	1707 FOGGY GLEN COVE	AUSTIN	TX	78733-1541	512.263.3695
BURNFIELD	BRADLEY	201 W PEARL ST	GRANBURY	TX	76048-2435	817.326.1234
CALANDER	DUSTI	203 W DAVIS ST	MCKINNEY	TX	75069-4435	214.548.4438
PITTMAN	KEVIN	203 W DAVIS ST	MC KINNEY	TX	75069-4435	214.592.8660
NICHOLS	GARRY	214 E COLLEGE ST	GRAPEVINE	TX	76051-5332	540.438.8173
FELKER	MARSHALL	214 E COLLEGE ST	GRAPEVINE	TX	76051-5332	214.273.4315
COPELAND	KENT	2161 NW MILITARY HWY STE 204	SAN ANTONIO	TX	78213-1844	210.341.5368
CALLAWAY	JAMES	2219 LAMAR AVE	PARIS	TX	75460-4755	903.785.7000
BELLINGHAUSEN	JEFFREY	2221 LAKESIDE BLVD STE 1250	RICHARDSON	TX	75082-4379	214.445.0600
DZIUK	ANTON	224 W MAIN ST STE 100 & 300	KENEDY	TX	78119-2755	830.583.0442
BLAKELOCK	JONATHAN	2316 TIMBER SHADOWS STE 102	KINGWOOD	TX	77339-2026	281.358.3322
PETTEY	BILLIE	2339 DUELING OAKS	TYLER	TX	75703-0326	903.592.7526
BRUNN	MICHAEL	2401 LUDELLE ST	FORT WORTH	TX	76105-1018	817.534.4763
DOYLE	TERRY	2435 N CENTRAL EXPY STE 915	RICHARDSON	TX	75080-2783	214.389.8500
CHACHERE	JENNIFER	25511 BUDDE RD STE 301	THE WOODLANDS	TX	77380-2080	832.299.6488
DAVIS	JOHN	25511 BUDDE RD STE 301	THE WOODLANDS	TX	77380-2080	832.299.6280
FONS	THOMAS	2717 COMMERCIAL CENTER BLVD STE E200	KATY	TX	77494-7823	832.913.5100
THANE	JOHN	2840 W SOUTHLAKE BLVD STE 120	SOUTHLAKE	TX	76092-6767	817.552.3112
ADAMS	JUSTIN	3131 BELL ST STE 101	AMARILLO	TX	79106-5029	806.331.1901
JONES	MICHAEL	318 W HIGHLAND BLVD	SAN ANGELO	TX	76903-7313	325.942.0600
WIEDERHOLT	JAMES	3200 SOUTHWEST FWY STE 3100	HOUSTON	TX	77027-7526	832.416.8400
CARR	MATTHEW	3315 81ST STREET SUITE D	LUBBOCK	TX	79423-2035	806.791.5904
MULDOWNEY	JEROME	3522 PAESANOS PKWY STE 303	SAN ANTONIO	TX	78231-1231	210.764.1390
ANDERSON	JAIME	3600 SHIRE BLVD STE 200	RICHARDSON	TX	75082-2237	972.265.7011
ROUQUETTE	ZEPH	3610 SHIRE BLVD STE 212	RICHARDSON	TX	75082-2239	214.420.7444
RIPEY	BILL	363 N SAM HOUSTON PKWY E STE 1480	HOUSTON	TX	77060-2430	281.931.1900
HEISLER PELLIS	JEANNE	4022 CRYSTL LK CIR N	PEARLAND	TX	77584-2571	281.485.6793
CHEMLA	JEAN MARC	409 W 4TH ST STE 101	WEATHERFORD	TX	76086-1560	817.377.2298
LAPP	PHILIP	409 WEST 4TH ST STE 101	WEATHERFORD	TX	76086-1560	817.341.9898
WATSON	ROBIN	414 W AUSTIN ST	FREDERICKSBURG	TX	78624-3208	830.992.3048
PAK	SAMUEL	4245 KEMP BLVD STE 804	WICHITA FALLS	TX	76308-2824	940.691.2275
STERNADEL	DUSTY	4245 KEMP BLVD STE 804	WICHITA FALLS	TX	76308-2824	940.228.5967
LANDIN	LUIS	444 EXECUTIVE CENTER BLVD STE 222	EL PASO	TX	79902-1039	915.223.3284
CHAMALES	LOUIS	444 EXECUTIVE CENTER BLVD STE 222	EL PASO	TX	79902-1039	915.223.3284
TITTERINGTON	CHARLES	450 HIGHLAND HILLS LN	HIGHLAND VLG	TX	75077-7240	972.317.1555
BLOOM	TODD	4504 LEGACY DR STE 200	PLANO	TX	75024-2188	214.445.0615
GRAHNQUIST	GARY	4504 LEGACY DR STE 200	PLANO	TX	75024-2188	214.445.0605
WEINSTEIN	EUGENE	4504 LEGACY DRIVE SUITE 200	PLANO	TX	75024-2188	214.445.0630
TABAK	JAMES	4516 S MCCOLL RD	EDINBURG	TX	78539-9739	956.618.0050
MARQUEZ	MARC	455 E MEDICAL CTR BLVD STE 280	WEBSTER	TX	77598-4396	832.224.4916
STRAWN	BRIAN	455 E MEDICAL CTR BLVD STE 280	WEBSTER	TX	77598-4396	832.224.4915
CANGA	CARL	4810 SPICEWOOD SPGS RD STE 200	AUSTIN	TX	78759-7842	512.553.3007
SEASTONE	B.	5172 VILLAGE CREEK DR STE 104	PLANO	TX	75093-4444	512.231.0725
ALTMAN	JEFFERY	5172 VILLAGE CREEK DR STE 104	PLANO	TX	75093-4444	972.447.5184
LEGATE	AMY	5300 TOWN AND COUNTRY BLVD STE 160	FRISCO	TX	75034-6888	214.469.0060
COLEMAN	KYLE	550 RESERVE ST STE 190	SOUTHLAKE	TX	76092-1546	817.479.0141
SHAFFER	ELIZABETH	550 RESERVE ST STE 190	SOUTHLAKE	TX	76092-1546	817.479.0141
STEARNS	JOHN	5525 S STAPLES STE E5	CORPUS CHRISTI	TX	78411-5370	361.991.5424
ROJAS	KRISTIAN	5600 TENNYSON PARKWAY STE 130	PLANO	TX	75024-3998	469.443.7890
ROHDE	MICHELE	5606 N NAVARRO ST STE 207	VICTORIA	TX	77904-1758	361.575.2600
VINES	KANE	5700 GRANITE PKWY STE 200	PLANO	TX	75024-6623	469.409.7283
MCGOWAN	MICHAEL	606 FALL CREEK HWY	GRANBURY	TX	76049-7972	800.687.4159

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Last	First	Address	City	State	ZIP Code	Bus Phone
MALONE	SHIRLEY	606 MAIN STREET	BUDA	TX	78610-9452	512.523.8531
SIMMONS	JAMES	612 S MISSOURI AVE	WESLACO	TX	78596-6940	956.968.0123
JOHNSTON	MARLA	6160 WARREN PKWY STE 100	FRISCO	TX	75034-9415	972.731.2612
BOAZ	RODNEY	6793 OLD JACKSONVILLE HWY	TYLER	TX	75703-0508	903.592.2600
LEHMAN	JAMES	700 CENTRAL EXPY S STE 380	ALLEN	TX	75013-8110	972.954.1595
DICK	DAVID	700 HIGHLANDER BLVD STE 335	ARLINGTON	TX	76015-4344	817.419.6001
SAUNDERS	CRAIG	705 E 1ST STREET	PROSPER	TX	75078-2982	469.506.1950
HUGHES	ARTHUR	709 E ESPERANZA AVE	MCALLEN	TX	78501-1470	956.687.7902
BARNES	DAVID	709 E ESPERANZA AVE	MCALLEN	TX	78501-1470	956.687.7902
RICHARDSON	HOWARD	8309 WHITLEY RD STE 101	WATAUGA	TX	76148-2485	817.427.5300
WILLIAMS	JOHN	8310 N CAPITAL OF TEXAS HWY STE 360	AUSTIN	TX	78731-1077	512.744.4187
WEAVER	KEVIN	8310 N CAPITAL OF TEXAS HWY SUITE 360	AUSTIN	TX	78731-1077	512.744.4198
JUDGE	FRANCIS	8333 DOUGLAS AVE STE 475	DALLAS	TX	75225-6042	214.535.5553
MARTINEZ	DAVID	8500 BLUFFSTONE COVE STE 105A	AUSTIN	TX	78759-7809	512.795.0062
BANKER	BRENT	8505 TECHNOLOGY FOREST PL STE 203	THE WOODLANDS	TX	77381-1158	409.227.0858
THORNAL	SAM	8751 COLLIN MCKINNEY PKWY STE 301	MCKINNEY	TX	75070-1658	972.866.7969
PENICK	LEE ANN	8820 BUSINESS PARK DR STE 100	AUSTIN	TX	78759-7456	620.728.2639
BAILEY	SANDA	9102 REGAL ST	SAN ANTONIO	TX	78216-5224	210.340.5010
UDDIN	JAMAL	9307 BROADWAY ST STE A317	PEARLAND	TX	77584-9765	713.478.1545
SMITH	CHRISTOPHER	9800 HILLWOOD PKWY STE 180	FORT WORTH	TX	76177-1692	817.500.5284
BIGLER	BENJAMIN	9800 HILLWOOD PKWY STE 180	FORT WORTH	TX	76177-1692	682.231.8331
TAYLOR	ROBERT	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8012
FELKER	MICHAEL	1401 PRECINCT LINE RD	HURST	TX	76053-3827	817.591.8023
MUENZ	SCOTT	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	877.955.7526
CHAVANA	ALFONZO	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
BROOKS	JOHN EDWARD	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
PALME	KRISTEN	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
ACERRA	GUY	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1311
BROWER	BROCK	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
TRUSELA	JOHN	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
WYNN	DAVID	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
GARCIA	DANIEL	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1300
STONE	DOUGLAS	BLDG 4 STE 401	SAN ANTONIO	TX	78258-4278	210.582.1318
STEGMAN	MARK	STE 100B	PLANO	TX	75023-7017	972.543.4850
VAUGHN	DEREK	STE 100B	PLANO	TX	75023-7017	972.543.4766
QUICK	BRUCE	STE 1480	HOUSTON	TX	77060-2409	281.931.1900
PENNI	SAMUEL	STE 1480	HOUSTON	TX	77060-2409	281.931.1900
FIELDS	MICHAEL	STE 200	AUSTIN	TX	78759-7839	512.527.2802
GOODIN	MARK	STE 200	AUSTIN	TX	78759-7839	512.527.8400
YOUNG	WILLIAM	STE 200	AUSTIN	TX	78759-7839	512.527.8400
UNDERWOOD	JEANNE	STE 200	AUSTIN	TX	78759-7839	512.527.8400
MASON	ANDREW	STE 200	AUSTIN	TX	78759-7839	512.527.8400
CORNIELLO	LYNN	STE 2000	PLANO	TX	75093-4464	972.447.5154
GARCIA	CHRISTOPHER	STE 2000	PLANO	TX	75093-4464	469.865.1055
SIDHU	HARSIMRAN	STE 2000	PLANO	TX	75093-4464	469.865.1095
HOUSTON	KANE	STE 270	LEWISVILLE	TX	75067-6677	972.459.6670
VELASQUEZ-ROMERO	GLORIA	BLDG 1 STE 425 1250 S CAPITAL OF TEXAS HWY	W LAKE HILLS	TX	78746-6454	512.991.1101
PALMER	JAMES	BLDG 1 STE 425 1250 S CAPITAL OF TEXAS HWY	W LAKE HILLS	TX	78746-6454	512.991.1101
MASON	CURTIS	BLDG 4 STE 401 1314 E SONTERRA BLVD	SAN ANTONIO	TX	78258-4288	210.582.1300
CARTER	STEPHEN	BLDG 8 STE 16 2851 JOE DIMAGGIO BLVD	ROUND ROCK	TX	78665-3961	512.986.5569
HEDGECOKE	EDWARD	PO BOX 1184 123 N 3RD ST	CANADIAN	TX	79014-1184	806.323.5241
DAU	TUAN	STE 100 3333 PREMIER DR	PLANO	TX	75023-7137	972.543.4853
JOHNSON	HERSCHEL	STE 100 3333 PREMIER DR	PLANO	TX	75023-7137	972.543.4860
HECHT	DEBORAH	STE 100 3333 PREMIER DR	PLANO	TX	75023-7137	972.543.4880
SKILLRUD	HOWARD	STE 100 8000 W INTERSTATE 10	SAN ANTONIO	TX	78230-3879	210.881.0540
JENG	CHRISTOPHER	STE 101 1120 W CAMPBELL RD	RICHARDSON	TX	75080-2977	214.572.2260
REED	KARL	STE 101 1346 BROADWAY ST	PEARLAND	TX	77581-6482	281.404.7600
JUST	KELLY	STE 101 8309 WHITLEY RD	WATAUGA	TX	76148-2485	817.427.5300
DOLANSKY	MARY	STE 101 8309 WHITLEY RD	WATAUGA	TX	76148-2485	817.581.5534
SWAIN	ZACHARY	STE 101 8309 WHITLEY RD	WATAUGA	TX	76148-2485	817.427.5300
BINGHAM	RICKY	STE 102 6815 MANHATTAN BLVD	FT WORTH	TX	76120-1212	817.492.8100
GAROFALO	MICHAEL	STE 103 800 BERING DR	HOUSTON	TX	77057-2130	713.507.1017
OCHTERBECK	RICHARD	STE 104 5172 VILLAGE CREEK DR	PLANO	TX	75093-4444	972.447.5156
BORDELON	BRUCE	STE 104 5172 VILLAGE CREEK DR	PLANO	TX	75093-4444	972.447.5197
SCOFIELD	DALE	STE 1040 5910 N CENTRAL EXPRESSWAY	DALLAS	TX	75206-0904	214.272.7919
LADNER	TRAVIS	STE 1040 5910 N CENTRAL EXPY	DALLAS	TX	75206-0904	214.272.7919
CANNON	MARK	STE 1040 5910 N CENTRAL EXPY	DALLAS	TX	75206-0904	214.272.7919
JONES	CHARLES	STE 1040 5910 N CENTRAL EXPY	DALLAS	TX	75206-0904	214.272.7919
SAMUELSON	PETER	STE 1040 5910 N CENTRAL EXPY	DALLAS	TX	75206-0904	214.272.7919
NYE	JOAN	STE 1040 5910 N CENTRAL EXPY	DALLAS	TX	75206-0904	214.272.7919
SAACKE	C TRAVIS	STE 110 2900 COMMERCIAL CTR BLVD	KATY	TX	77494-6724	713.332.4333
SANCHEZ	PETE	STE 114 14800 SAN PEDRO AVE	SAN ANTONIO	TX	78232-3734	210.858.6004
GRAFF	STEVEN	STE 120 2840 W SOUTHLAKE BLVD	SOUTH LAKE	TX	76092-6767	817.552.3112
MILLER	SCOTT	STE 120 2840 W SOUTHLAKE BLVD	SOUTH LAKE	TX	76092-6767	817.447.6464
PEPKIN	CHARLES	STE 1250 2221 LAKESIDE BLVD	RICHARDSON	TX	75082-4379	214.445.0614
MULLOY	SCOTT	STE 1250 2221 LAKESIDE BLVD	RICHARDSON	TX	75082-4379	214.445.0608
ROSS	ANDREW	STE 1250 2221 LAKESIDE BLVD	RICHARDSON	TX	75082-4379	214.445.0628
STROHMEYER	SANDRA	STE 1250 2221 LAKESIDE BLVD	RICHARDSON	TX	75082-4379	214.445.0612
MORTON	STEFANIE	STE 1250 2221 LAKESIDE BLVD	RICHARDSON	TX	75082-4379	214.445.0627
FRANKOWSKI	JAMES	STE 1480 363 N SAM HOUSTON PARKWAY E	HOUSTON	TX	77060-2430	281.931.1900

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RIGGS	DAVID	STE 1503 10375 RICHMOND AVE	HOUSTON	TX	77042-4163	713.953.0200
BUZBY	CHARLES	STE 1503 10375 RICHMOND AVE	HOUSTON	TX	77042-4163	713.953.0200
LEE	CHERYL	STE 150W 9600 GREAT HLS TRL	AUSTIN	TX	78759-6303	512.340.2323
PEARCE	ROBIN	STE 160 950 E STATE HWY 114	SOUTHLAKE	TX	76092-5261	817.301.0309
OLIVAREZ	LARRY	STE 1701 711 N CARANCAHUA ST	CORPUS CHRISTI	TX	78401-0575	361.654.1900
BUCHANAN	CATHY	STE 1710 3050 POST OAK BLVD	HOUSTON	TX	77056-6579	713.551.4003
WARD	SHARON	STE 1710 3050 POST OAK BLVD	HOUSTON	TX	77056-6579	713.600.3407
JAMES	CHAD	STE 1710 3050 POST OAK BLVD	HOUSTON	TX	77056-6579	713.551.4000
EVERLY	WILLIAM	STE 200 11675 JOLLYVILLE RD	AUSTIN	TX	78759-4155	877.421.7900
TYER	M C	STE 200 11675 JOLLYVILLE RD	AUSTIN	TX	78759-4155	512.231.0725
REEP	WALTER	STE 200 11675 JOLLYVILLE RD	AUSTIN	TX	78759-4155	512.231.0725
EISENMENGER	MICHAEL	STE 200 11675 JOLLYVILLE RD	AUSTIN	TX	78759-4155	512.231.0725
SHANKS	ROBERT KELLY	STE 200 221 S MEMORIAL FWY	NEDERLAND	TX	77627-7220	409.721.6200
BLEVINS	DANNY	STE 200 3600 SHIRE BLVD	RICHARDSON	TX	75082-2237	972.265.7003
MEDICK	DAVID	STE 200 4504 LEGACY DR	PLANO	TX	75024-2188	469.782.9248
CARR-FRENKEL	DAWNA	STE 200 4810 SPICEWOOD SPGS RD	AUSTIN	TX	78759-7842	512.527.8400
PRESTAGE	LA VERA	STE 200 5100 WESTHEIMER RD	HOUSTON	TX	77056-5597	713.588.4461
FARBER	GREGORY	STE 200 7840 HILLSIDE ROAD	AMARILLO	TX	79119-7875	806.352.0664
JOHNSON	MICHAEL	STE 2000 100 CONGRESS AVE	AUSTIN	TX	78701-2745	512.391.6990
FEDERICK	DEBORAH	STE 2000 1308 VILLAGE CRK DR	PLANO	TX	75093-4464	469.865.1061
LARKIN	JAMES	STE 2000 1308 VILLAGE CRK DR	PLANO	TX	75093-4464	469.865.1050
WALKER	TAMMIE	STE 2000 1308 VILLAGE CRK DR	PLANO	TX	75093-4464	469.865.1020
IRWIN	MATTHEW	STE 2000 1308 VLG CRK DR	PLANO	TX	75093-4464	469.865.1066
LAWS	VICTOR	STE 203 8505 TECHNOLOGY FOREST PL	THE WOODLANDS	TX	77381-1158	936.242.1780
SHERWOOD	SHANE	STE 205 911 NW LOOP 281	LONGVIEW	TX	75604-2930	903.297.9800
JONES	STEPHEN	STE 205 911 NW LOOP 281	LONGVIEW	TX	75604-2930	903.297.9800
FORD	KEITH	STE 207 5750 BALCONES DR	AUSTIN	TX	78731-4269	512.527.0700
ISRAEL	VICTOR	STE 210 9821 KATY FWY	HOUSTON	TX	77024-1205	713.464.9700
BIRNEY	NATHAN	STE 210 9821 KATY FWY	HOUSTON	TX	77024-1205	713.464.9700
ROBERTS	JASON	STE 210 9821 KATY FWY	HOUSTON	TX	77024-1205	713.464.9700
KOERNER	PAUL	STE 210 9821 KATY FWY	HOUSTON	TX	77024-1205	713.464.9700
JANKI	SANDY	STE 210 9821 KATY FWY	HOUSTON	TX	77024-1205	713.464.9700
HENSLEY	ANTHONY	STE 210 9821 KATY FWY	HOUSTON	TX	77024-1205	713.464.9700
FRANZAGO	ANTHONY	STE 2-100 10415 MORADO CIR	AUSTIN	TX	78759-5698	512.744.4800
PALMER	JASON	STE 212 3610 SHIRE BLVD	RICHARDSON	TX	75082-2239	972.635.0107
HARRIS	SHANNON	STE 212 3610 SHIRE BLVD	RICHARDSON	TX	75082-2239	972.635.0101
KEEVER	BRYAN	STE 214 2340 INTERSTATE 20 W	ARLINGTON	TX	76017-7603	817.465.6000
CARRUTHERS	TRE	STE 220 2221 E LAMAR BLVD	ARLINGTON	TX	76006-7418	682.323.8429
CREWS	STACY	STE 220 U 1120 NASA PKWY	HOUSTON	TX	77058-3342	281.532.1889
BRADFORD	TERRY	STE 250 10375 RICHMOND AVE	HOUSTON	TX	77042-4143	281.578.3839
GOEBEL	RANDALL	STE 250 10375 RICHMOND AVE	HOUSTON	TX	77042-4143	281.858.7876
SILVA	JOSEPH	STE 250 10375 RICHMOND AVE	HOUSTON	TX	77042-4143	713.954.4940
YOUNG	KRISTIN	STE 2603 25511 BUDDE RD	THE WOODLANDS	TX	77380-2388	832.791.5040
POWELL	STEVEN	STE 265 1205 S WHITE CHAPEL BLVD	SOUTHLAKE	TX	76092-9331	817.749.0400
CLARK	RAYMOND	STE 270 260 N DENTON TAP RD	COPPELL	TX	75019-2143	972.393.7393
RHYNE	RODGER	STE 274 5616 FM 1960 RD E	HUMBLE	TX	77346-2737	713.936.3518
SANDBERG	JOHN	STE 276 5616 FM 1960 RD E	HUMBLE	TX	77346-2784	281.441.5340
DONOWHO	RANDALL	STE 295 11550 IH 10 WEST	SAN ANTONIO	TX	78230-1037	210.541.0126
HOWARD	TERRY	STE 295 11550 IH 10 WEST	SAN ANTONIO	TX	78230-1037	210.541.0126
TIRAS	SCOTT	STE 3000 11 GREENWAY PLZ	HOUSTON	TX	77046-1104	713.332.4400
PENNINGTON	DARRELL	STE 3000 11 GREENWAY PLZ	HOUSTON	TX	77046-1104	713.332.4422
NOVOSAD	THOMAS	STE 3000 11 GREENWAY PLZ	HOUSTON	TX	77046-1104	713.332.4404
VINCENT	CARL	STE 3000 11 GREENWAY PLZ	HOUSTON	TX	77046-1104	713.332.4410
KARDESCH	MATTHEW	STE 3000 11 GREENWAY PLZ	HOUSTON	TX	77046-1104	713.332.4343
SANDERS	KRISTIN	STE 301 25511 BUDDE RD	THE WOODLANDS	TX	77380-2080	281.363.9614
DANSBY	HOMER	STE 301 3201 TEASLEY LN	DENTON	TX	76210-8307	940.323.9900
BEGAY	AUDREE	STE 3100 3200 SOUTHWEST FWY	HOUSTON	TX	77027-7526	832.416.8400
PROBE	WILLIAM	STE 3100 3200 SOUTHWEST FWY	HOUSTON	TX	77027-7526	832.416.7066
ELLIOTT	JENNIFER	STE 360 8310 CAPITAL OF TX HWY N	AUSTIN	TX	78731-1077	512.744.4185
BRIGHT	STEVEN	STE 360 8310 N CAPITAL OF TEXAS HWY	AUSTIN	TX	78731-1077	512.744.4199
NAVE	LISA	STE 360 8310 N CAPITAL OF TX HWY	AUSTIN	TX	78731-1077	512.744.4194
SMITH	MICHAEL	STE 360 8310 N CAPITAL OF TX HWY	AUSTIN	TX	78731-1077	512.744.4188
SABRA	MICHAEL	STE 360 8310-1 N CAPITAL OF TEXAS HWY	AUSTIN	TX	78731-1077	512.744.4195
RAPP	CHRISTOPHER	STE 360 8310-1 N CAPITAL OF TEXAS HWY	AUSTIN	TX	78731-1077	512.201.4020
VASSO	NEAL	STE 375 5000 QUORUM DR	DALLAS	TX	75254-7091	972.692.5069
WAMMACK	CLINT	STE 380 700 CENTRAL EXPY S	ALLEN	TX	75013-8110	972.954.1595
SMITH	SHAWN	STE 460 5600 CLEARFORK MAIN ST	FORT WORTH	TX	76109-3568	817.377.9998
HARRIS	ROSEANN	STE 460 5600 CLEARFORK MAIN ST	FORT WORTH	TX	76109-3568	817.377.9998
FISK	JASON	STE 460 5600 CLEARFORK MAIN ST	FORT WORTH	TX	76109-3568	817.377.9998
WILSON	DAVID	STE 500 711 W BAY AREA BLVD	WEBSTER	TX	77598-4041	281.724.9612
CAFFEY	TROY	STE 500 711 W BAY AREA BLVD	WEBSTER	TX	77598-4041	832.632.1510
SPILLER	ARTHUR	STE 500 711 W BAY AREA BLVD	WEBSTER	TX	77598-4041	832.632.1500
FISER	KY	STE 538 4144 N CENTRAL EXPY	DALLAS	TX	75204-2105	214.420.0600
WALDEN	MICHAEL	STE 600 17304 PRESTON RD	DALLAS	TX	75252-5643	469.361.4015
BROWN	SEAN	STE 600 17304 PRESTON RD	DALLAS	TX	75252-5643	469.361.4017
BURCHETT	STEPHEN	STE 601 150 PINE FOREST DRIVE	SHENANDOAH	TX	77384-5304	936.231.8966
CRUMP	CYNTHIA	STE 840 6750 WEST LOOP SOUTH	BELLAIRE	TX	77401-4113	713.600.3411
ULIVA	DONNA	STE 840 6750 WEST LOOP SOUTH	BELLAIRE	TX	77401-4113	713.600.3410
LEE	CHARLES	STE 870 2435 N CENTRAL EXPY	RICHARDSON	TX	75080-2737	972.398.8599
GRAY	GREGORY	STE A1 2629 PLAZA PKWY	WICHITA FALLS	TX	76308-3873	940.696.1396

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LEDBETTER	JAMES	STE B2 3134 EXECUTIVE DR	SAN ANGELO	TX	76904-6886	325.942.1917
SULLIVAN	CARMA	STE C 1900 S WASHINGTON ST	KAUFMAN	TX	75142-3403	972.932.1010
BAILEY	JAMES	STE I-5 4131 SPICEWOOD SPRINGS RD	AUSTIN	TX	78759-8659	512.527.9900
MATHES	RYAN	SUITE 110 1610 WOODSTEAD CT	THE WOODLANDS	TX	77380-3403	281.362.1995
JUDAH	RUSSELL	SUITE 1503 10375 RICHMOND AVE	HOUSTON	TX	77042-4163	713.953.0200
WHATLEY	HULON	THREE SUGAR CREEK CENTER BLVD STE 100	SUGAR LAND	TX	77478-2211	281.494.8211
HALL	DORNE	1064 S NORTH COUNTY BLVD STE 100	PLEASANT GRV	UT	84062-3436	801.998.8535
PADRO	MANUEL	10904 S CORALVILLE WAY	SOUTH JORDAN	UT	84009-7727	801.947.3301
ANDERSON	ADAM	1300 N 200 E STE 109	LOGAN	UT	84341-1866	435.213.3063
CHRISTENSEN	TRENTON	247 E 2100 S	SALT LAKE CITY	UT	84115-2139	801.412.0476
FINCH	LAWRENCE	2870 WILLOW CREEK DR	SANDY	UT	84093-2049	801.942.4753
RISER	TAI	504 W 800 N STE 110	OREM	UT	84057-3746	801.960.6692
FOSLID	DANIEL	7440 S CREEK RD STE 200	SANDY	UT	84093-5502	801.252.4825
SHELTON	DONALD	869 W BAXTER DR	SOUTH JORDAN	UT	84095-8506	801.984.2711
WILLSON	JOHN	968 CHAMBERS ST STE 3	OGDEN	UT	84403-5080	801.479.7567
AYERS	ALAN	STE 104 8915 S 700 E	SANDY	UT	84070-2421	801.748.1733
BOWDEN	TRAVIS	STE 104 8915 S 700 E	SANDY	UT	84070-2421	801.748.1733
WEBB	BREAGAN	STE 104 8915 S 700 E	SANDY	UT	84070-2421	801.748.1733
MUIR	MARK	STE 130 3115 E LION LN	SALT LAKE CITY	UT	84121-3528	801.569.4866
GRIFFIN	MICHAEL	STE 200 7440 S CREEK RD	SANDY	UT	84093-5502	801.569.4860
OLSON	MATTHEW	STE 200 7440 S CREEK RD	SANDY	UT	84093-5502	801.569.4870
WRIGHT	JOHN	STE 210 12012 S 700 E	DRAPER	UT	84020-7587	801.274.1857
HOLMGREN	JOHN	STE 210 12012 S 700 E	DRAPER	UT	84020-7587	801.676.4540
MONSON	BRIAN	STE 225 675 E 2100 S	SALT LAKE CTY	UT	84106-5313	801.486.4595
COLLIER	JASON	STE 250 7440 S CREEK RD	SANDY	UT	84093-5511	801.590.2029
KELL	TRAVIS	STE 250 7440 S CREEK RD	SANDY	UT	84093-5511	801.569.4863
FREDRICKSON	STACEY	STE 336 1412 S LEGEND HILLS DR	CLEARFIELD	UT	84015-1592	801.773.2227
SHIPP	JAMES	STE 350 165 W CANYON CREST ROAD	ALPINE	UT	84004-1862	801.756.2244
CHRISTENSEN	GARY	STE 366 10808 S RIVER FRONT PKWY	SOUTH JORDAN	UT	84095-6300	801.984.8177
BROOKS	LEE	1017 2ND ST SW	ROANOKE	VA	24016-4436	540.981.0657
VICENTE SALAS	CATHERINE	1107 EDEN SQUARE	CHESAPEAKE	VA	23320-2750	757.567.0641
LOVELACE	CHARLES	1108 EDEN SQ	CHESAPEAKE	VA	23320-2749	757.508.0001
CAGGIANO	RICHARD	1130 STUART HILLS WAY	HERNDON	VA	20170-2468	703.573.5732
HANKS	EDWARD	115 N MONROE ST	GALAX	VA	24333-2821	276.238.2955
BATEMAN	SHEILA	1403 GREENBRIER PKWY STE 150	CHESAPEAKE	VA	23320-0624	757.410.8028
DUNN	JASON	14159 ROBERT PARIS CT STE B	CHANTILLY	VA	20151-4227	703.560.5600
LA ROSE	RICHARD	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	540.777.5757
SHIREY	WILLIAM	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	804.288.2003
WILLIAMSON	KEVIN	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	804.560.9215
SWARTZWELDER	BRAD	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	804.273.1277
BRENNAN	CHRISTOPHER	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	804.273.1262
MOREL	CESAR	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	804.419.2531
ROHR	JEFF	14350 SOMMERVILLE CT	MIDLOTHIAN	VA	23113-6838	804.273.1265
STALEY	JEFFREY	16583 FOREST ROAD	FOREST	VA	24551-3905	434.534.8875
SMITH	CHRISTINE	1901 S MAIN ST STE 4D	BLACKSBURG	VA	24060-6628	540.443.9143
LANTZ	ERIC	2000 DUKE ST STE 300	ALEXANDRIA	VA	22314-6101	703.518.4184
WELTENS	KEITH	202 THIRD AVE	RADFORD	VA	24141-4706	540.639.5153
MELROSE	DOUGLAS	202 THIRD AVE	RADFORD	VA	24141-4706	540.639.5153
GROSS	ANDREW	20902 TRINITY SQ	STERLING	VA	20165-7233	703.430.9712
DRIVER	EVERETTE	2565 JOHN WAYLAND HWY STE 112 PO BOX 2458	HARRISONBURG	VA	22801-9510	540.434.8278
NORRIS	JAMES	2901 TELESTAR CT STE 455	FALLS CHURCH	VA	22042-1261	202.460.1198
GHOSH	BIVAS	2941 FOX CHASE LN	MIDLOTHIAN	VA	23112-4400	804.763.2570
SCOTT	JOHN	2941 FOX CHASE LN	MIDLOTHIAN	VA	23112-4400	804.327.1696
BOINEST	PATRICK	300 N WASHINGTON ST STE 101 A	FALLS CHURCH	VA	22046-3441	703.663.1252
LUU-TU	KIM	301 MAPLE AVE W STE 520	VIENNA	VA	22180-4302	703.766.2025
STALLWORTH	LETICIA	3050 CHAIN BRIDGE RD STE 101	FAIRFAX	VA	22030-2834	703.829.3878
VIERA	CARLOS	3050 CHAIN BRIDGE RD STE 101	FAIRFAX	VA	22030-2834	703.385.5464
FRAZEE	CURTIS	3050 CHAINE BRIDGE RD STE 101	FAIRFAX	VA	22030-2834	703.385.5464
MALONEY	CHARLES	307 E MARKET ST STE 100	LEESBURG	VA	20176-4107	571.209.9586
HENGREER	W SCOTT	311 RIVERMONT AVE STE 1	LYNCHBURG	VA	24504-2336	434.845.9181
CREYTS	KELVIN	3201 JERMANTOWN RD STE 575	FAIRFAX	VA	22030-2879	703.273.3616
SMITH	BEN	3201 JERMANTOWN RD STE 575	FAIRFAX	VA	22030-2879	703.273.5465
CLYBURN	SAMUEL	355 E MONROE ST	WYTHEVILLE	VA	24382-2337	276.223.0888
BOWEN	MICHAEL	373 NEFF AVE	HARRISONBURG	VA	22801-3430	540.434.0432
KRECH	STEPHEN	373 NEFF AVE	HARRISONBURG	VA	22801-3430	540.434.3622
LONG	DAVID	3827 MILL CREEK RD	LURAY	VA	22835-6429	800.999.7129
PAGE	BENJAMIN	3908 SPRINGFIELD RD	GLEN ALLEN	VA	23060-4119	804.217.7926
MAROTTA	PETER	3908 SPRINGFIELD RD	GLEN ALLEN	VA	23060-4119	804.217.8901
KLICH	JERRY	3951 WESTERRE PKWY STE 100	HENRICO	VA	23233-1312	804.935.4880
BERGER	HARVEY	3959 PENDER DR STE 108	FAIRFAX	VA	22030-6041	703.359.2660
DAVIS	THEODORE	4000 LEGATO RD STE 1100	FAIRFAX	VA	22033-2893	703.896.7956
HUGGINS	ANDREW	4030 QUARLES CT	HARRISONBURG	VA	22801-8716	540.434.4956
MUMAW	JAMES	4030 QUARLES CT	HARRISONBURG	VA	22801-8716	540.438.1723
PARKER	CAREY	418 LIBBIE AVE	RICHMOND	VA	23226-2616	804.282.5640
KOOGLER	PATRICIA	42 STONERIDGE DRIVE SUTE 102	WAYNESBORO	VA	22980-6581	540.943.7665
MOLES	MICHAEL	4581 STUARTS DRAFT HWY	WAYNESBORO	VA	22980-7333	540.943.9924
MARX	ANTHONY	46175 WESTLAKE DR STE 110	POTOMAC FALLS	VA	20165-5873	703.348.8407
KHALSA	GEORGE	46175 WESTLAKE DR STE 110	STERLING	VA	20165-5873	703.791.1283
WHITE	JOHN	51 COALING RD	TROUTVILLE	VA	24175-6410	540.966.0500
SMITH	GREGORY	520 W 21ST ST STE J-2	NORFOLK	VA	23517-0017	757.626.1300

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Last	First	Address	City	State	ZIP Code	Bus Phone
ROMANO	PETER	524 VIRGINIA AVE	BLUEFIELD	VA	24605-1729	276.326.1670
MATTHEWS	MICHAEL	562 LYNNHAVEN PKWY STE 202	VIRGINIA BEACH	VA	23452-7357	757.498.1055
PRICE-MOLVIN	ADRIENE	5680 KING CENTRE DR STE 600	ALEXANDRIA	VA	22315-5755	571.489.6110
BALL	STEVEN	620 WOODBROOK DR STE 4A	CHARLOTTESVILLE	VA	22901-1153	434.973.3457
MCCCLARY	HERBERT	7001 HERITAGE VILLAGE PLZ STE 240	GAINESVILLE	VA	20155-3094	703.753.2955
EDWARDS	LARRY	7526 CARROLLTON PIKE	GALAX	VA	24333-5975	276.236.6921
AIKAT	PROBIR	8000 TOWERS CRESCENT DR STE 1384	VIENNA	VA	22182-6207	703.259.3420
WALSH	ABRAHAM	817 CEDAR CREEK GRADE STE 200	WINCHESTER	VA	22601-6460	540.722.0100
PRAMAWAT	CHRISTOPHER	8251 GREENSBORO DR STE 310	MC LEAN	VA	22102-4900	703.893.3758
LANGDON	PATRICK	9117 CENTER STREET	MANASSAS	VA	20110-5501	703.335.9887
GABALDA	MARIO	8045 LEESBURG PIKE STE 500B	VIENNA	VA	22182-2796	703.492.7732
LAMBERT	THOMAS	STE 150	VIRGINIA BEACH	VA	23452-1293	757.321.3420
RITTER	JAMES	STE 150	VIRGINIA BEACH	VA	23452-1293	757.321.3420
BARNES	STEWART	BLDG C STE 100 3140 CHAPARRAL DR	ROANOKE	VA	24018-4370	540.769.0052
BASINGER	DAVID	PO BOX 836	OCOQUAN	VA	22125-0836	703.303.6458
EVERETT	PATRICK	STE 100 3814 KECOUGHTAN RD	HAMPTON	VA	23669-4402	757.951.0145
JORGENSEN	WILLIAM	STE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.935.4882
CHAMBERS	DALE	STE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.421.0676
BARNETT	MARK	STE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.935.4893
NESMITH	COREY	STE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.249.6236
MOORE	JERALD	STE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.935.4886
HUEBSCH	HOLLY	STE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.935.4886
WHITLOCK	BENNETT	STE 101 12848 HARBOR DR	LAKE RIDGE	VA	22192-2964	877.944.8562
MC INTOSH	RICHARD	STE 101 3050 CHAIN BRIDGE RD	FAIRFAX	VA	22030-2834	703.385.5665
FATTORINI	MARCO	STE 101 3050 CHAIN BRIDGE RD	FAIRFAX	VA	22030-2834	703.385.5464
DORSEY	MARK	STE 101 500 VIKING DR	VIRGINIA BEACH	VA	23452-7486	757.227.5020
ANDERSON	NOLIA	STE 103 2021 CUNNINGHAM DR	HAMPTON	VA	23666-3368	757.826.8847
GOODERMUTH	DEBORAH	STE 104 4510 COX RD	GLEN ALLEN	VA	23060-6758	804.658.7166
EMOND	CHRISTINE	STE 108 3959 PENDER DR	FAIRFAX	VA	22030-6041	703.359.2660
ALLEN	CHRISTOPHER	STE 1200 4601 N FAIRFAX DR	ARLINGTON	VA	22203-1559	703.348.8439
VIROK	PETER	STE 150 295 BENDIX RD	VIRGINIA BCH	VA	23452-1293	757.321.3420
YEH	ROBERT	STE 150 5029 CORPORATE WOODS DR	VIRGINIA BCH	VA	23462-4382	757.499.2639
COLTON	ROBIN	STE 160 4050 INNSLAKE DR	GLEN ALLEN	VA	23060-5500	804.217.8900
KASCH	ROGER	STE 202 4801 COX RD	GLEN ALLEN	VA	23060-6803	804.249.7510
LEVITCH	LEONARD	STE 202 4801 COX RD	GLEN ALLEN	VA	23060-6803	804.249.7520
MCALEER	PATRICK	STE 202 4801 COX RD	GLEN ALLEN	VA	23060-6803	804.249.7505
HANCOCK	MICHAEL	STE 203 941 GLENWOOD STA LN	CHARLOTTESVILLE	VA	22901-5719	434.220.4671
JIN	WEIWEI	STE 204 11832 ROCK LANDING DR	NEWPORT NEWS	VA	23606-4231	757.873.8526
CIZLER	MATTHEW	STE 204 37 MAIN ST	WARRENTON	VA	20186-3446	540.318.6388
PATTERSON	GERALD	STE 205 3554 CHAIN BRIDGE RD	FAIRFAX	VA	22030-2709	703.986.3490
HARVEY	CHRISTOPHER	STE 220 113 E MARKET ST	LEESBURG	VA	20176-3110	571.209.9600
ENGEL	STEVEN	STE 220 675 PETER JEFFERSON PKWY	CHARLOTTESVILLE	VA	22911-8698	434.995.5752
HOWARD	WILLIAM	STE 240 7001 HERITAGE VILLAGE PLZ	GAINESVILLE	VA	20155-3094	703.753.2955
WOO	JAMES	STE 275 4701 COX RD	GLEN ALLEN	VA	23060-6806	804.273.1260
CARLSON	DAVID	STE 306 133 MAPLE AVE E	VIENNA	VA	22180-5780	703.766.9300
FELBER	MATTHEW	STE 306 133 MAPLE AVE E	VIENNA	VA	22180-5780	703.766.9300
CARRADICE	JOHN	STE 310 12700 BLACK FOREST LN	WOODBIDGE	VA	22192-9700	703.590.0326
CROW	KATHERINE	STE 3100 125 S AUGUSTA ST	STAUNTON	VA	24401-4386	540.885.5772
CARPENITO	LESLIE	STE 320 2965 COLONNADE DR	ROANOKE	VA	24018-3541	540.777.5757
BURKHOLDER	BOYD	STE 400 560 NEFF AVE	HARRISONBURG	VA	22801-8027	540.442.1110
SEPULVEDA	RAMIRO	STE 401 870 GREENBRIER CIR	CHESAPEAKE	VA	23320-2658	757.648.8840
KIM	DANIEL	STE 420 1950 OLD GALLOWES RD	VIENNA	VA	22182-3920	703.434.3270
UHRON	MARK	STE 420 1950 OLD GALLOWES RD	VIENNA	VA	22182-3920	703.434.3270
GOODWIN	THOMAS	STE 455 2901 TELESTAR CT	FALLS CHURCH	VA	22042-1261	571.405.6446
ALBRECHT	RYAN	STE 500 1902 CAMPUS COMMONS DR	RESTON	VA	20191-1592	703.774.1708
MARSHALL	STEVEN	STE 500 1902 CAMPUS COMMONS DR	RESTON	VA	20191-1592	703.663.1152
HALL	REBECCA	STE 500 1902 CAMPUS COMMONS DR	RESTON	VA	20191-1592	703.663.1157
ROBINSON	BRIAN	STE 520 301 MAPLE AVE W	VIENNA	VA	22180-4302	703.327.3129
SMITH	WILLIAM	STE 520 301 MAPLE AVE W	VIENNA	VA	22180-4302	703.766.2025
GALLANT	JENNIFER	STE 575 3201 JERMANTOWN RD	FAIRFAX	VA	22030-2879	800.571.4913
GURLEY	C MARK	STE 575 3201 JERMANTOWN RD	FAIRFAX	VA	22030-2879	703.273.2937
MULLANY	CAROLYN	STE 575 3201 JERMANTOWN RD	FAIRFAX	VA	22030-2879	703.934.8816
ADAIR	JEFFERY	STE 575 3201 JERMANTOWN RD	FAIRFAX	VA	22030-2879	703.934.8351
HOPKINS	MICAH	STE 600 8150 LEESBURG PIKE	VIENNA	VA	22182-2721	703.226.2300
POLLAK	MARK	STE 600 8150 LEESBURG PIKE	VIENNA	VA	22182-2721	703.226.2303
GODFREY	JONATHAN	STE B 14379 B SUMMER TREE RD	CENTREVILLE	VA	20121-4001	703.298.0295
MEYER	SHARON	STE C 3600 CHAIN BRIDGE RD	FAIRFAX	VA	22030-3236	703.241.8301
SAMPSON	ERNESTO	SUITE 100 3951 WESTERRE PKWY	RICHMOND	VA	23233-1312	804.527.5227
BARRETT-JOHNSON	KIMBERLEE	SUITE 201 908 EAST JEFFERSON STREET	CHARLOTTESVILLE	VA	22902-5375	434.296.6611
KIM	SOO	SUITE 600 8150 LEESBURG PIKE	VIENNA	VA	22182-2721	703.226.2300
MOULTON	JEFFREY	541 INDUSTRIAL AVENUE	WILLISTON	VT	05495-7129	802.862.5500
BLANCHARD	SETH	905 ROOSEVELT HWY STE 220	COLCHESTER	VT	05446-4475	802.654.8800
DUBOIS	JASON	905 ROOSEVELT HWY STE 220	COLCHESTER	VT	05446-4475	802.654.8800
RUSSELL	BENJAMIN	905 ROOSEVELT HWY STE 220	COLCHESTER	VT	05446-4475	802.654.8800
CHARLEBOIS MELENDY	CLARA	5399 WILLISTON RD UNIT 204	WILLISTON	VT	05495-5322	802.657.3800
PALMER	DENISE	STE 2001 14 N MAIN ST	BARRE	VT	05641-4130	802.622.8060
MATHON	MICHAEL	STE 2E 77 COLLEGE ST	BURLINGTON	VT	05401-8497	802.861.4040
LARROW	JARED	STE 4F 2 CHURCH ST	BURLINGTON	VT	05401-4457	802.865.2326
SMITH	KEVIN	100 2ND AVE S STE 140	EDMONDS	WA	98020-8439	425.640.8633
KELLY	JOHN	101 ELLIOTT AVE W STE 510	SEATTLE	WA	98119-4292	206.219.5256

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Last	First	Address	City	State	ZIP Code	Bus Phone
LEACH	HEATHER	101 ELLIOTT AVE W STE 510	SEATTLE	WA	98119-4292	206.219.5254
LILLY	DOUGLAS	102 W CRAWFORD ST STE A	DEER PARK	WA	99006-5185	509.276.2340
CONTI	EDWARD	10655 NE 4TH ST STE 503	BELLEVUE	WA	98004-5039	425.460.9025
METZ	DAVID	10655 NE 4TH ST STE 503	BELLEVUE	WA	98004-5039	425.460.9025
NORMAN	ANDREW	10900 NE 4TH ST STE2404-A	BELLEVUE	WA	98004-5873	425.452.3827
MUSHEN	JEFFREY	110 JAMES ST STE 100	EDMONDS	WA	98020-8430	425.640.8636
KINDER	ROGER	1101 SUMMITVIEW AVE	YAKIMA	WA	98902-3024	509.454.1101
BROWN	DYLAN	1101 SUMMITVIEW AVE	YAKIMA	WA	98902-3024	509.454.1101
GEHA	BYRON	1131 E WESTVIEW CT STE 100	SPOKANE	WA	99218-5018	509.232.0070
HANACEK	EUGENE	114 W MAGNOLIA ST STE 416	BELLINGHAM	WA	98225-4394	360.733.1248
TILBURY	RICHARD	114 W MAGNOLIA ST STE 431	BELLINGHAM	WA	98225-4354	360.392.3933
BARNHART	BLAYNE	119 N COMMERCIAL ST STE 325	BELLINGHAM	WA	98225-4437	360.333.8258
DANIELS	WIL	1200 WESTLAKE AVE N STE 704	SEATTLE	WA	98109-3529	206.926.5347
SINGLETON	ANDREA	1200 WESTLAKE AVE N SUITE 501	SEATTLE	WA	98109-3528	206.285.0260
GREENE	THOMAS	140 S ARTHUR ST STE 420	SPOKANE	WA	99202-2220	509.835.4023
ANDERSON	GINA	14205 SE 36TH ST STE 100	BELLEVUE	WA	98006-1553	206.264.9556
JIYAMAPA	DANIEL	150 120TH AVE NE STE 205	BELLEVUE	WA	98005-3020	425.457.7073
FERRELL	DANA	150 120TH AVE NE STE 205	BELLEVUE	WA	98005-3020	425.457.7073
BRANNAN	VIRGINIA	152 3RD AVE S STE 103A	EDMONDS	WA	98020-8442	425.245.8083
MOSBACKER	MARTIN	1816 S LAKE STEVENS RD STE 201	LAKE STEVENS	WA	98258-7960	206.236.8054
MASTOR	MICHAEL	2019 E 29TH AVE	SPOKANE	WA	99203-3957	509.363.0336
JENSEN	PETER	22722 29TH DR SE STE 100	BOTHELL	WA	98021-4420	425.445.7601
WINTER	JACK	23710 NE 170TH ST	WOODINVILLE	WA	98077-7315	425.883.8536
CLEMENTS	GUY	300 S 1ST ST STE B	MOUNT VERNON	WA	98273-3832	360.336.3196
SANDS	COLIN	308 GATES ST	MOUNT VERNON	WA	98273-3833	360.336.5060
ELIASON	GREGORY	308 GATES ST	MOUNT VERNON	WA	98273-3833	360.336.5060
MURPHY	JILL	320 NEWPORT WAY NW	ISSAQUAH	WA	98027-3119	425.654.4717
SAGER	MICHELLE	340 4TH ST	KIRKLAND	WA	98033-6213	425.800.6580
SCHWARZ	TED	3929 MARTIN WAY E STE F	OLYMPIA	WA	98506-5200	360.438.1611
BACHAND	HUNTER	4508 AUBURN WAY N STE E	AUBURN	WA	98002-1381	253.661.5311
PICKLES	WILLIAM	505 BROADWAY STE 400	TACOMA	WA	98402-3929	253.756.2003
GUSTIN	SHERRY	610 N MISSION ST STE 118 PO BOX 2135	WENATCHEE	WA	98807-2135	509.662.9287
COMBS	MICHAEL	620 N EMERSON AVE STE 202	WENATCHEE	WA	98801-6619	509.667.1027
MC KENZIE	MARVIN	6601 W DESCHUTES AVE STE E	KENNEWICK	WA	99336-7811	509.737.1690
MILLER	JOHN	6713 20TH AVE NW	SEATTLE	WA	98117-5707	206.784.3331
JOHNSON	JEFFREY	7525 SE 24TH ST STE 120	MERCER ISLAND	WA	98040-2300	425.709.2345
SCANNELL	ERIN	7525 SE 24TH ST STE 120	MERCER ISLAND	WA	98040-2300	425.709.2345
PHELPS	ROGER	915 118TH AVE SE STE 250	BELLEVUE	WA	98005-3875	425.691.1587
AKIYAMA	TODD	915 118TH AVE SE STE 250	BELLEVUE	WA	98005-3875	425.649.3568
BEAULAUER	TOM	915 118TH AVE SE STE 250	BELLEVUE	WA	98005-3875	425.417.4571
THOMSEN	JEFFRY	9951 MICKELBERRY RD NW STE 127	SILVERDALE	WA	98383-8309	360.282.6322
BAJEMA	THOMAS	119 N COMMERCIAL ST STE 170	BELLINGHAM	WA	98225-4446	360.734.9000
LINDE	RANDALL	126 WELLS AVE S	RENTON	WA	98057-2152	800.563.1636
JANICKI	THOMAS	STE 204	TACOMA	WA	98409-7322	253.472.8200
BAKER	THOMAS	STE 204	TACOMA	WA	98409-7322	253.472.8200
LEDESMA	JASON	STE 204	TACOMA	WA	98409-7322	253.472.8200
DAVIS	ROBERT	STE 204	TACOMA	WA	98409-7322	253.472.8200
BUSER	LYLE	STE 204	TACOMA	WA	98409-7322	253.472.8200
MATZ	DEAN	STE 204	TACOMA	WA	98409-7322	253.472.8200
DARNEILLE	RUSSELL	STE 204	TACOMA	WA	98409-7322	253.472.8200
CAMPBELL	DAN	STE 100 110 JAMES ST	EDMONDS	WA	98020-8430	425.640.8632
ELDRIDGE	WILLIAM	STE 100 1131 E WESTVIEW CT	SPOKANE	WA	99218-5018	509.232.0070
NG	RANDY	STE 100 14205 SE 36TH ST	BELLEVUE	WA	98006-1553	425.214.2455
ARAMAKI	DAVID	STE 100 14205 SE 36TH ST	BELLEVUE	WA	98006-1553	425.519.3797
TAAFE	PETER	STE 100 9222 BAYSHORE DR NW	SILVERDALE	WA	98383-7869	360.516.6820
GREENE	BRANT	STE 101 19793 HAMILTON CT NE	POULSBO	WA	98370-8791	360.697.4600
CLYNE OISHI	DEBORAH	STE 101 3215 NW LOWELL ST	SILVERDALE	WA	98383-8570	360.616.2453
HOGAN	TYLER	STE 111 16000 BOTHELL EVERETT HWY	MILL CREEK	WA	98012-1513	425.337.3847
SCHMIEDEKNECHT	CYNTHIA	STE 120 19125 NORTHCREEK PKWY	BOTHELL	WA	98011-8000	425.486.9066
BUESCHER	MADELINE	STE 126 104 S FREYA ST	SPOKANE	WA	99202-4881	509.324.4266
GERARDS	JANIS	STE 126 104 S FREYA ST	SPOKANE	WA	99202-4881	509.324.4266
LOUGHNEY	SCOTT	STE 166 201 NE PARK PLAZA DR	VANCOUVER	WA	98684-5808	360.573.3346
JOHNSON	HARRY	STE 200 1380 112TH AVE NE	BELLEVUE	WA	98004-3759	425.228.1000
BENNETT	JAMES	STE 200 2275 116TH AVE NE	BELLEVUE	WA	98004-3032	425.462.7900
HAMILTON	PETER	STE 200 4055 LAKE WASHINGTON BLVD NE	KIRKLAND	WA	98033-7871	425.869.7100
HAQ	ADNAN	STE 200 4055 LAKE WASHINGTON BLVD NE	KIRKLAND	WA	98033-7871	425.869.7100
CROSBY	JEFFREY	STE 200 4055 LAKE WASHINGTON BLVD NE	KIRKLAND	WA	98033-7871	425.869.7100
TREMBLAY	DSHANE	STE 200 4055 LAKE WASHINGTON BLVD NE	KIRKLAND	WA	98033-7871	425.869.7100
HORVATH	JOHN	STE 200 4910 NW CAMAS MEADOWS DR	CAMAS	WA	98607-7763	360.883.5861
COOK	DEANE	STE 202 11611 AIRPORT RD	EVERETT	WA	98204-3782	425.353.4382
ANDERSON	JANET	STE 204 2702 S 42ND ST	TACOMA	WA	98409-7322	253.472.2027
ANDERSON	TIMOTHY	STE 207 1140 10TH ST	BELLINGHAM	WA	98225-7053	360.392.2836
RICHARDSON	DAVID	STE 210 9725 SE 36TH ST	MERCER ISLAND	WA	98040-3840	206.453.3506
NEAMEN	KIRK	STE 210 9725 SE 36TH ST	MERCER ISLAND	WA	98040-3840	206.420.8803
DOUGLAS	DARRELL	STE 240 7100 FORT DENT WAY	TUKWILA	WA	98188-8553	206.838.6240
EVERSOLE	ERIC	STE 240 7100 FORT DENT WAY	TUKWILA	WA	98188-8553	206.838.6240
DUNN	RUSSELL	STE 250 915 118TH AVE	BELLEVUE	WA	98005-3875	425.691.1587
BETZ	KEVIN	STE 420 140 S ARTHUR ST	SPOKANE	WA	99202-2220	509.534.3527
JOHNSON	HOWARD	STE 445 11400 SE 8TH ST	BELLEVUE	WA	98004-6470	425.709.0780
JOHNSON	JASON	STE 500 906 W 2ND AVE	SPOKANE	WA	99201-4537	509.466.9811

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Last	First	Address	City	State	ZIP Code	Bus Phone
NAVONE	JAMES	STE 510 101 ELLIOT AVE W	SEATTLE	WA	98119-4292	206.219.5252
WAKEFIELD	REBECCA	STE 510 101 ELLIOTT AVE W	SEATTLE	WA	98119-4292	206.219.5255
MAAS	ROBERT	STE 510 101 ELLIOTT AVE W	SEATTLE	WA	98119-4292	206.617.0611
WONG	DEANNA	STE 510 101 ELLIOTT AVE W	SEATTLE	WA	98119-4292	206.219.5258
LARSON	GREGG	STE 601 4407 N DIVISION ST	SPOKANE	WA	99207-1660	509.747.6265
KUBIK	EUGENE	STE 605 4407 N DIVISION ST	SPOKANE	WA	99207-1613	509.232.0073
WOOSLEY	DAVID	STE A 723 BROADWAY E	SEATTLE	WA	98102-4607	206.324.2707
QUINN	GREGG	STE A116 7530 164TH AVE NE	REDMOND	WA	98052-7837	425.558.3835
NIHOUL	THOMAS	STE B 620 N ARGONNE RD	SPOKANE	WA	99212-2792	509.777.0803
ZELENAK	GEORGE	STE F 3929 MARTIN WAY E	OLYMPIA	WA	98506-5200	360.438.1611
MC CLURE	SUSAN	STE F 3929 MARTIN WAY E	OLYMPIA	WA	98506-5200	360.438.1611
CLELAND	TODD	SUITE 202 520 E WHIDBEY AVE	OAK HARBOR	WA	98277-5921	360.675.4649
SILKWORTH	BRIAN	UNIT B10 1080 W EWING P STE 200	SEATTLE	WA	98119-1461	206.285.5489
GEORGE	ROY	100 N MARQUETTE RD STE 100 PO BOX 323	PR DU CHIEN	WI	53821-0323	608.326.2552
LADE	CHRISTINE	110 W MAIN ST STE 3 PO BOX 153	BELLEVILLE	WI	53508-0153	608.424.0330
GLAVIN	THOMAS	111 24TH STREET S STE 101	WISC RAPIDS	WI	54494-1913	715.424.3100
ZUIKER	AMANDA	111 24TH STREET S STE 101	WISC RAPIDS	WI	54494-1913	715.421.2992
ALSTEEN	NICHOLAS	1110 FOURIER DR STE 100	MADISON	WI	53717-1949	608.829.6691
RUFENACHT	MARK	1110 FOURIER DR STE 100	MADISON	WI	53717-1949	608.829.8210
GANT	MICHAEL	1110 FOURIER DR STE 110	MADISON	WI	53717-1963	608.829.6629
DURFEY	CHAD	1122 S AIRLINE RD STE 101	MT PLEASANT	WI	53406-3889	262.833.5025
HEMAUER	SCOTT	113 S BROADWAY	DE PERE	WI	54115-2513	920.338.8150
HAGER	ANDREW	114 4TH ST	BARABOO	WI	53913-2147	608.356.6675
GALUBINSKI	GERALDINE	115 E MAIN ST	EAGLE	WI	53119-2004	262.594.2883
MEYER	TANIA	1204 S OAK AVE PO BOX 368	MARSHFIELD	WI	54449-0368	715.387.8700
MEYER	DAVID	1204 SOUTH OAK AVE PO BOX 368	MARSHFIELD	WI	54449-0368	715.387.8700
PIPER	MARK	1331 NORTH RD STE 100	GREEN BAY	WI	54313-5704	920.593.6882
DUBIEL	JEANNIE	134 2ND AVE N	ONALASKA	WI	54650-2907	608.781.3000
DRETZKA	HEATHER	1385 W MAIN AVE STE 105	DE PERE	WI	54115-9366	920.617.6731
GERRISH	DAVID	151 SUNWOOD VLY LANE	RIVER FALLS	WI	54022-7512	715.426.9910
BUSH	MARY	1733 MANHATTAN DRIVE STE F	WAUKESHA	WI	53186-2671	262.409.4240
KRESKE	LINDSEY	1733 MANHATTAN DRIVE SUITE F	WAUKESHA	WI	53186-2671	262.409.4240
KARPFINGER	MARK	175 N PATRICK BLVD STE 100	BROOKFIELD	WI	53045-5857	262.641.4100
CONWAY	DANA	175 N PATRICK BLVD STE 100	BROOKFIELD	WI	53045-5857	262.641.4100
BUSCHE	CAROL	175 N PATRICK BLVD STE 100	BROOKFIELD	WI	53045-5857	262.641.4100
HERMENING	KEVIN	200 WASHINGTON STREET STE 200	WAUSAU	WI	54403-5530	715.842.1916
COLEMER	MATHEW	2012A 10TH STREET S	WISC RAPIDS	WI	54494-6301	715.422.7604
SCHUETTELZ	DIANE	2212 E EVERGREEN DR	APPLETON	WI	54913-9002	920.954.8679
DETJEN	DAVID	2331 ENTERPRISE DR	OSHKOSH	WI	54904-6320	920.426.3376
NEMOIR	KEVIN	235 N EXECUTIVE DR STE 200	BROOKFIELD	WI	53005-6000	262.373.6900
DZIUBEK	DAVID	235 N EXECUTIVE DR STE 200	BROOKFIELD	WI	53005-6000	262.373.6900
MOHR	ADAM	2423 RIVERS EDGE DR	ALTOONA	WI	54720-1495	888.831.7475
FOX	EDWARD	2711 STEWART AVE	WAUSAU	WI	54401-4140	715.849.3697
FARNSWORTH	CYNTHIA	2912 MARKETPLACE DR STE 100	FITCHBURG	WI	53719-5324	608.663.7526
BEHNKE	RANDALL	3121 CALUMET AVE	MANITOWOC	WI	54220-5421	920.686.8222
SMITH	MICHAEL	3241A BUSINESS PARK DR	STEVENS POINT	WI	54482-8837	715.341.6657
HINNENDAEL	TERRY	3311 PACKERLAND DR STE A5	DE PERE	WI	54115-9539	920.593.6494
SOMERVILLE	CAREY	3321 PACKERLAND DR STE D	DE PERE	WI	54115-7582	920.425.7777
LOWERY	RICHARD	35 PARK PL STE 300	APPLETON	WI	54914-8800	920.574.2936
GROESCHL	RICK	380 MAIN AVE STE 1	DE PERE	WI	54115-2203	920.632.7005
SCHANHOFER	DEREK	380 MAIN AVE STE 2	DE PERE	WI	54115-2203	920.347.5901
GREENE	AOIBHEANN	39 PARK PL STE 100	APPLETON	WI	54914-8289	920.997.0668
WILLIAMS	MICHAEL	402 BERNARD ST	WATERTOWN	WI	53094-6206	920.261.0511
NIEMEYER	LESLIE	402 GAMMON PL STE 330	MADISON	WI	53719-1073	608.829.6614
ESKER	JEFFREY	425 W WATER ST STE 250	APPLETON	WI	54911-6066	920.955.7788
STOFFEL	MARK	4720 COUNTY ROAD P	JACKSON	WI	53037	920.419.4778
HARMSSEN	THOMAS	490 W ROLLING MEADOWS DR STE A2	FOND DU LAC	WI	54937-8624	920.907.2990
MLSNA	BRIAN	500 2ND ST S STE 101	LA CROSSE	WI	54601-4798	608.783.2639
MORRONE	MICHAEL	5027 GREEN BAY RD STE 106	KENOSHA	WI	53144-1771	262.656.3006
HEIDEMAN	MICHAEL	510 W NORTH WATER ST	NEW LONDON	WI	54961-1138	920.982.0460
PERSINGER	MICHAEL	5306 VALLEY RIDGE PLZ	MIDDLETON	WI	53562-2053	608.478.4478
LEWITZKE	ADAM	601 WILLARD DR	GREEN BAY	WI	54304-5236	920.499.0999
ROTH	MAXIMILIAN	721 MAIN AVE	DE PERE	WI	54115-1371	920.964.0070
HIGGINS	WILLIAM	721 MAIN AVE	DE PERE	WI	54115-1371	920.964.0070
SCHMIDT	KATHLEEN	721 MAIN AVE	DE PERE	WI	54115-1371	920.964.0070
LUTZE	SHANNON	740 PILGRIM PARKWAY STE 204	ELM GROVE	WI	53122-2067	262.784.9000
SCHOMBERG	JONATHAN	740 PILGRIM PKWY STE 204	ELM GROVE	WI	53122-2067	262.777.2673
CARLSON	RICK	802 SUPERIOR AVE	TOMAH	WI	54660-2047	608.372.9444
LYNCH	JOHN	807 MADISON AVE	FORT ATKINSON	WI	53538-1321	920.563.6510
FREITAG	THOMAS	8500 GREENWAY BLVD STE 105	MIDDLETON	WI	53562-4713	608.644.5055
GRUPE	JAMIE	86 COULEE RD STE 100	HUDSON	WI	54016-2372	715.386.4100
ANDERSON	MEGHAN	9433 COUNTY ROAD J STE D PO BOX 1271	WOODRUFF	WI	54568-1271	888.356.5932
RADDATZ	NATHAN	980 MARITIME DR STE 2	MANITOWOC	WI	54220-2962	920.682.1119
LOCHNER	ANDREW	1110 FOURIER DR STE 100	MADISON	WI	53717-1963	608.829.6644
ANTTI	BRENT	2331 ENTERPRISE DR	OSHKOSH	WI	54904-6320	920.426.3376
YAGGIE	CHRISTOPHER	2331 ENTERPRISE DR	OSHKOSH	WI	54904-6320	920.426.3376
MANN	JOSEPH	2331 ENTERPRISE DR	OSHKOSH	WI	54904-6320	920.426.3376
ZIMMER	AARON	2912 MARKETPLACE DR	MADISON	WI	53719-5324	608.663.7526
KUOKKANEN	DAVIN	STE 200	BROOKFIELD	WI	53005-6610	262.432.0363
BARDON	JEREMY	STE 200	BROOKFIELD	WI	53045-5861	262.754.5504

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Last	First	Address	City	State	ZIP Code	Bus Phone
AUDLEY	GEORGE	STE 200	BROOKFIELD	WI	53005-6610	262.797.8828
SOMMERS	WILLIAM	STE 200	BROOKFIELD	WI	53005-6610	262.432.0367
LOBINS	KENNETH	STE 200	BROOKFIELD	WI	53005-6610	262.797.8828
SEXTON	MARK	STE 200	BROOKFIELD	WI	53005-6610	262.432.0366
TAYLOR	JOHN	STE 200	BROOKFIELD	WI	53005-6610	262.797.8828
SCHIELD	GREGORY	STE A	WAUSAU	WI	54401-5700	715.421.2910
JARVIS	ANDREW	STE A	WAUSAU	WI	54401-5700	715.842.3200
PERGOLSKI	JOEL	STE A	WAUSAU	WI	54401-5700	715.842.3200
BORTZ	ROBERT	N19W24400 RIVERWOOD DR STE 350	WAUKESHA	WI	53188-1182	262.391.0720
STEIN	JEFFREY	PO BOX 442 113 SPRING ST	CAMBRIDGE	WI	53523-0442	920.563.2374
MATHIAS	JESSICA	STE 1 606 E WISCONSIN AVE	OCONOMOWOC	WI	53066-3044	262.560.4966
TUFTS	JOHN	STE 100 1110 FOURIER DR	MADISON	WI	53717-1949	608.829.6622
DEBOER	MARK	STE 100 1110 FOURIER DR	MADISON	WI	53717-1949	608.829.6618
THOEMKE	GREGORY	STE 100 1110 FOURIER DR	MADISON	WI	53717-1949	608.829.6621
PETERS	SCOTT	STE 100 1110 FOURIER DR	MADISON	WI	53717-1949	608.829.6632
FEUTZ	CHRISTOPHER	STE 100 1331 NORTH RD	GREEN BAY	WI	54313-5704	920.593.6881
ENGLES	MARK	STE 100 1331 NORTH RD	GREEN BAY	WI	54313-5704	920.593.6880
DAVIS	ANDREW	STE 100 2924 MARKETPLACE DR	FITCHBURG	WI	53719-5334	608.424.5784
KRAEMER	JASON	STE 101 111 24TH STREET S	WISC RAPIDS	WI	54494-1913	715.424.1886
HANSON	CRAIG	STE 101 500 2ND ST S	LA CROSSE	WI	54601-4798	608.783.2639
GILLESPIE	TIMOTHY	STE 101 500 2ND ST S	LA CROSSE	WI	54601-4798	608.783.2639
SCHAMBERGER	TODD	STE 102 307 S COMMERCIAL ST	NEENAH	WI	54956-5700	920.967.0296
KIMBEL	BRENT	STE 104 2601 W BELTLINE HWY	MADISON	WI	53713-2319	608.819.0500
DIESTLER	KELLY	STE 105 2631 PACKERLAND DR	GREEN BAY	WI	54313-4130	920.491.1144
WAYNE	SEAN	STE 110 1110 FOURIER DR	MADISON	WI	53717-1963	608.829.6629
REED	KRISTY	STE 110 1110 FOURIER DR	MADISON	WI	53717-1963	608.829.6629
ZARLING	RUSSELL	STE 110 325 N CORPORATE DR	BROOKFIELD	WI	53045-5828	262.754.5504
NAPHOLZ	RICK	STE 110 325 N CORPORATE DR	BROOKFIELD	WI	53045-5828	262.754.5504
BENEDICT	RANDALL	STE 130 1231 S ROCHESTER ST	MUKWONAGO	WI	53149-9032	262.724.8843
ARNDT	JASON	STE 2 518 CRANDALL	MILTON	WI	53563-1114	608.373.3175
HALVEY	MICHAEL	STE 200 13890 BISHOPS DR	BROOKFIELD	WI	53005-6611	262.432.0349
TORNOW	BRYAN	STE 204 700 3RD ST N	LA CROSSE	WI	54601-3288	608.796.0929
BRYANT	RONALD	STE 204 700 3RD ST N	LA CROSSE	WI	54601-3288	608.796.0970
WULF	WAYNE	STE 205 710 N MAIN ST	RIVER FALLS	WI	54022-3606	715.426.1800
DALLEN	RICHARD	STE 230 18000 W SARAH LN	BROOKFIELD	WI	53045-5853	262.754.9444
BRANTMEIER	SHARON	STE 301 2501 W BELTLINE HWY	MADISON	WI	53713-2321	608.819.0510
JOHNSON	CODY	STE 5 446 N WESTHILL BLVD	APPLETON	WI	54914-6533	920.731.1758
HOLEWINSKI	RICK	STE A 2740 S ONEIDA ST	GREEN BAY	WI	54304-5711	920.499.9400
KOEHLER	JAMES	STE A 903 S 17TH AVE	WAUSAU	WI	54401-5700	715.842.3200
RASNER	MARK	STE A2 490 W ROLLING MEADOWS DR	FOND DU LAC	WI	54937-8624	920.907.2990
ZANDERS	NICK	STE A2 490 W ROLLING MEADOWS DR	FOND DU LAC	WI	54937-8624	920.907.2990
STROEDE	JOSEPH	STE A3 490 W ROLLING MEADOWS DR	FOND DU LAC	WI	54937-8624	920.923.6300
CAUCUTT-RATZ	KRISTA	STE C 2919 MALL DR	EAU CLAIRE	WI	54701-6872	715.838.9001
RATZ	JOEL	STE C 2919 MALL DR	EAU CLAIRE	WI	54701-6872	715.838.9001
WESTPHAL	BRUCE	SUITE 102 307 S COMMERCIAL ST	NEENAH	WI	54957-0687	920.725.2569
BLAKEY	JAMES	SUITE A 903 S 17TH AVE	WAUSAU	WI	54401-5700	715.842.3200
CROTTY	CHRISTOPHER	W6228 COMMUNICATION CT	APPLETON	WI	54914-8531	920.882.3916
WILLIAMS	MATTHEW	1160 JOHNSON AVE STE 102	BRIDGEPORT	WV	26330-1487	844.433.8637
KENDALL	MARY	12 KENTON DR	CHARLESTON	WV	25311-1256	304.720.7625
BANE	JOHNNY	12 KENTON DR	CHARLESTON	WV	25311-1256	304.720.7625
MC CLURE	JAMES	12 KENTON DR	CHARLESTON	WV	25311-1256	304.720.7625
GOFF	DALE	12 KENTON DR	CHARLESTON	WV	25311-1256	304.415.8685
SMITH	BERNADETTE	1206 CHAPLINE STREET SUITE 175	WHEELING	WV	26003-3317	304.830.5379
EVERSON	JOHN	1270 WINCHESTER AVE	MARTINSBURG	WV	25405-5019	304.263.4343
MORTON	RAYMOND	189 DRY HILL RD	BECKLEY	WV	25801-2600	304.253.8515
URAM	LARRY	2900 CULLER RD	WEIRTON	WV	26062-9677	304.748.7094
HERNDON	DONALD	710 CENTRAL AVE PO BOX 786	BARBOURSVILLE	WV	25504-0786	304.302.2600
KIDD	BRUCE	117 S 4TH ST	CLARKSBURG	WV	26301-2801	304.623.6060
VALLANDINGHAM	CHARLES	330 ASSOCIATION DR	CHARLESTON	WV	25311-1269	304.352.8200
EVANS	CHARLES	330 ASSOCIATION DR	CHARLESTON	WV	25311-1269	304.352.8200
ARNOLD	MARC	330 ASSOCIATION DR	CHARLESTON	WV	25311-1269	304.352.8200
BUMGARNER	GREGORY	330 ASSOCIATION DR	CHARLESTON	WV	25311-1269	304.352.8200
CLARK	LESTER	STE E 6000 HAMPTON CTR	MORGANTOWN	WV	26505-1748	304.598.0003
CROSSEN	CHRISTOPHER	1700 E 2ND ST	CASPER	WY	82601-3007	307.234.3987
MERANDA	MARGARET	217 SUPERIOR CT	LARAMIE	WY	82072-2033	307.742.5975
ROBERTS	DIXIE	3000 CENTRAL AVE	CHEYENNE	WY	82001-2502	307.778.8321
SHAW	JOHN	900 COBURN AVE	WORLAND	WY	82401-3416	307.347.4734

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EXHIBIT K INDEPENDENT ADVISORS THAT LEFT THE SYSTEM

If you buy this franchise your contact information may be disclosed to other buyers when you leave the System.

Last	First	Address	City	State	Zip Code	Bus Phone
MEADORAKERS	SCOTT DAVID	3045 NEWMARK DR ~~LITTLE ROCK~~	ARMIAMISBURG	72205-4537OH	501.537.411445 342-5418	937.853.2600
PAPPASAKIYAMA	TODD PHILIP	TUCSON 915 118TH AVE SE STE 250	AZBELLEVUE	85711-3787WA	520.514.402798 005-3875	425.649.3568
BARBER ~~HOFFMAN~~	ARTHUR CHAD	GLENDALE 1420 WESTOVER TER STE E	AZGREENSBORO	85308-8734NC	623.207.418227 408-2008	336.545.7700
ZIMMERMAN	RAYMOND	ROSEVILLE	CA	95678-2474		916.784.8050
DODI	KOFI	WALNUT CREEK	CA	94596-7304		925.979.0200
SANFORD	YLISA	SANTA ROSA	CA	95404-4012		000.000.0000
WILSON	JOSHUA	WALNUT CREEK	CA	94596-7264		925.932.7040
BICKENBACH	JEANNE	SAN RAFAEL	CA	94903-1954		415.492.8300
KELLY	EDWARD	HERMOSA BEACH	CA	90254-3692		310.379.3475
JENKINS	HILDLER	CULVER CITY	CA	90230-7620		424.750.3147
OLTMAN	JOE	REDLANDS	CA	92373-5254		909.748.7843
BUTZMAN BARRY	WILLIAM	SANTA CLARA STE 500 5855 TOPANGA CYN BLVD	WOODLAND HILLS	CA	95054-425391367-4679	408.330.9220818.227 .9642
BECKER	GREGG	STE H 6060 RENAISSANCE PL	TOLEDO	OH	43623-4725	419.725.9211
BETONI	JULIE	1680 THE GREENS WAY STE 200	JAX BCH	FL	32250-1422	904.395.3308
BEZDICHEK ~~AUSTIN~~	WILLIAM	TRUCKEE AMERIPRISE FINANCIAL SERVICES 715 OLD HWY 8 NW	CANUEW BRIGHTON	96161-2224MN	530.563.525055 112-2732	239.592.0840
HOWARD BONOMO	PAUL GUY	NEWTOWN 8200 MOLSON WAY	CT LIVERPOOL	06470-2106NY	203.426.075313 090-6847	315.652.7660
RANDO BRYTZ	ANTHONY DORIS	STE 102 6 KACEY CT	06032-2350MECHANICS BURG	860.550.412 ZPA	17055-9244	717.697.2356
SHERMAN BUZBY	CHARLES MICHAEL	GLASTONBURY STE 1503 10375 RICHMOND AVE	CT HOUSTON	06033-5018TX	860.430.478077 042-4163	713.953.0200
BARNETT BYRNSIDE	MARK TERENCE	DANBURY 1202 BOMBAY LN	CT ROSWELL	06840-5627GA	203.546.710830 076-5822	770.642.8504
OSTRAND CALKUSI	THOMAS WILLIAM	DANBURY 1508 CALUMET AVE	CT VALPARAISO	06811-4700IN	203.743.690046 383-3125	219.926.4501
MAXWELL	ANATOL	WILMINGTON	DE	19809-1388		302.793.4972
HARDY	WARREN	REHOBOTH BEACH	DE	19971-6127		302.727.5677
BAPTISTE	RICARDO	PLANTATION	FL	33324-3940		954.476.1555
ROBERTSON CALLAHAN	SHELLEY COLIN	2431 ALOMA AVE STE 165	WINTER PARK	FL	32789-340332792-2541	407.629.4122410.964 .4962
AKOM CARLSON	DAVID ELIZABETH	TALLAHASSEE STE 306 133 MAPLE AVE E	VIENNA FL	32309-6899VA	850.385.540022 180-5780	703.766.9300
DESANCTIS CARROLL	STEPHEN DONNA	GREENACRES 124 NW FRANKLIN AVE	FL BEND	33463-3040OR	561.346.617097 703-2908	541.388.1877
REED CHEMTOB	MARK WESLEY	CLERMONT STE 602 111 BROADWAY	FL NEW YORK	34711-5035NY	352.394.845310 006-1972	212.233.5404
ROBBINS CLELAND	TODD JAMES	ST AUGUSTINE SUITE 202 520 E WHIDBEY AVE	FL OAK HARBOR	32080-2946WA	904.474.996998 277-5921	360.675.4649
CLUCKEY	LYNN	STE 230 7600 GRAND RIVER RD	BRIGHTON	MI	48114-7339	810.206.2015
COONS	FREDERICK	1591 MONO AVE	MINDEN	NV	89423-4012	775.782.6184
CROSSLEY	JACK	3340 HICKORY RD	MISHAWAKA	IN	46545-8803	574.231.9300
DAVIS	ANDREW	STE 100 2924 MARKETPLACE DR	FITCHBURG	WI	53719-5334	608.424.5784
FERREIRA	JOHN	150 MIDWAY RD STE 175	CRANSTON	RI	02920-5743	401.921.0558
FLINNER	JOE	STE A 36350 DETROIT RD	AVON	OH	44011-1506	440.934.7100
FOSTER	SUZUANNE	STE 219 26060 ACERO	MISSION VIEJO	CA	92691-2768	949.891.7898
FOX	LARRY	3404 MIDWAY DRIVE	WATERLOO	IA	50701-5612	319.234.7000
LOMBARDO FOYT	JOSEPH JOHN	STE 413 15715 S DIXIE HWY	MIAMI	FL	33134-249933157-1884	786.542.4764305.256 .1932
VON DOLTEREN-FOURNIER FREEMAN	LARRY HELEN	WINTER PARK STE A 5101 N 12TH AVE	PENSACOLA	FL	32792-400432504-8928	407.975.7526850.476 .5773
WEINSTEIN FREITA	ANTHONY	8500 GREENWAY BLVD STE 105 ATLANTA	GAMIDDLETON	30339-5950WI	770.612.020053 562-4713	608.644.5055
O'GWING ERVICH	TODD WILLIAM	DALTON 22 UNCLE HENRYS RD	GAMASHPEE	30720-8404MA	706.226.579502 649-4830	774.521.3800
HALL GORGONE	MICHAEL DAVID	HILO 207 W TOWN ST UNIT 2B	HI NORWICH	96720-4202CT	808.935.338806 360-2130	860.287.9626
MC-CONNELL GRANITE	MATTHEW	4TH FLOOR 635 N 12TH ST HONOLULU	HI LEMOYNE	96813-3794PA	808.952.423417 043-1225	717.975.0202
QASAY GRILLO	ARIEL JOSEPHINE	AIEA 99 DERBY ST STE 301	HI HINGHAM	96701-5340MA	808.465.425402 043-4216	781.740.1288

~~TERRY~~ ~~HACHFELD~~	~~MARY~~ ~~JON~~	~~WEST-DES-MOINES~~ ~~AMERIPRISE FINANCIAL SERVICES STE 150~~	~~WAARDEN HILLS~~	~~50266-2507MN~~	~~545.697.7154~~ ~~55112-6991~~	651.765.7028
~~DARRAH~~ ~~HANACEK~~	~~EUGENE~~ ~~SCOTT~~	~~COUNCIL-BLUFFS~~ ~~114 W MAGNOLIA ST STE 416~~	~~WABELLINGHAM~~	~~54504-4234WA~~	~~742.256.4900~~ ~~98225-4394~~	360.733.1248
~~YODER~~ ~~HARTZELL~~	~~RICHARD~~	~~W-DES-MOINES~~ ~~STE 200 200 S ACADEMY ST~~	~~CARY~~ ~~IA~~	~~50266-7304NC~~	~~545.309.0043~~ ~~27511-3334~~	919.371.4040
~~FRY~~ ~~HATTEN~~	~~BENNETT~~ ~~WAYNE~~	~~W-DES-MOINES~~ ~~16305 SWINGLEY RIDGE RD STE 20~~	~~WACHESTERFIELD~~	~~50266-7304MO~~	~~545.453.2300~~ ~~63017-1714~~	314.336.4330
~~CONRADY~~ ~~HEISLER PELLIS~~	~~JEANNE~~ ~~JEFFERSON~~	~~LISLE~~ ~~4022 CRYSTL LK CIR N~~	~~ILPEARLAND~~	~~60532-3648TX~~	~~630.577.9300~~ ~~77584-2571~~	281.485.6793
~~PARKER~~	~~SHAWN~~	~~SCHAUMBURG~~	~~IL~~	~~60173-4767~~		~~847.605.0605~~
~~DUNING~~	~~STEPHEN~~	~~INDIANAPOLIS~~	~~IN~~	~~46240-2129~~		~~317.853.1100~~
~~WALKER~~	~~THOMAS~~	~~EVANSVILLE~~	~~IN~~	~~47715-8154~~		~~812.477.5520~~
~~ALBRIGHT~~	~~MARK~~	~~OVERLAND PARK~~	~~KS~~	~~66211-2427~~		~~913.955.3404~~
~~JUHNKE~~	~~GERALD~~	~~WICHITA~~	~~KS~~	~~67206-2956~~		~~316.630.8400~~
~~DIBBLE~~	~~ANDREW~~	~~OVERLAND PARK~~	~~KS~~	~~66211-2427~~		~~913.955.3402~~
~~DIMOND~~	~~COLE~~	~~OVERLAND PARK~~	~~KS~~	~~66211-2427~~		~~913.955.3405~~
~~WARD~~ ~~HIRSCH~~	~~MICHAEL~~	~~OVERLAND PARK~~ ~~STE 300 800 WESTCHESTER AVE~~	~~KSRYE BROOK~~	~~66211-2427NY~~	~~913.955.3400~~ ~~10573-1330~~	914.253.8800
~~WALTERS~~	~~STEPHANIE~~	~~LOUISVILLE~~	~~KY~~	~~40207-3145~~		~~502.894.9366~~
~~WALTERS~~	~~MARTIN~~	~~LOUISVILLE~~	~~KY~~	~~40207-3145~~		~~502.894.9366~~
~~SIMMONS~~	~~CHARLES~~	~~METairie~~	~~LA~~	~~70002-6782~~		~~504.779.7790~~
~~HOFFMAN~~ ~~COHEN~~	~~JERROLD~~ ~~MARKE~~	~~220 FORBES RD STE 204~~	~~BRAINTREE~~	~~MA~~	~~02184-2712~~	781.618.48034801
~~COKEL~~ ~~YIPSEN~~	~~LOREN~~ ~~RICHARD~~	~~NORWOOD~~ ~~STE 150 2228 COTTONDALE LN~~	~~LITTLE ROCK~~ ~~MA~~	~~02062-4644AR~~	~~781.762.6747~~ ~~72202-2076~~	501.614.4700
~~LAMB~~ ~~SAAKSON~~	~~PATRICIA~~ ~~PAUL~~	~~CANTON~~ ~~STE 105 8112 CENTRALIA CT~~	~~MALEESBURG~~	~~02021-2864FL~~	~~781.828.8600~~ ~~34788-3701~~	352.787.0300
~~DAVIS~~ ~~JOHNSON~~	~~CHARLES~~ ~~BONNIE~~	~~UPPER-MARLBORO~~ ~~157 CHURCH ST FL 19~~	~~MDNEW HAVEN~~	~~20774-4790CT~~	~~304.313.9099~~ ~~06510-2100~~	475.655.3150
~~WILLIAMSON~~ ~~KEM PEL~~	~~JOHN~~	~~STE 480 1 NORTHFIELD PLZ~~ ~~FREDERICK~~	~~MDNORTHFIELD~~	~~IL~~	~~304.620.0149~~ ~~60093-1219~~	847.272.3370
~~MC-KLEIN~~ ~~DONALD~~	~~STEPHEN~~ ~~MICHAEL~~	~~TIMONIUM~~ ~~9240 STATE HWY 25 NE STE A~~	~~MDMONTICELLO~~	~~21093-2152MN~~	~~410.823.8933~~ ~~55362-3362~~	763.295.3275
~~HYDE~~ ~~KNAPP~~	~~WILLIAM~~ ~~REBECCA~~	~~COLUMBIA~~ ~~STE 475 7701 FRANCE AVE S~~	~~MDMEDINA~~	~~21045-3760MN~~	~~410.772.2397~~ ~~55435-3210~~	952.841.8117
~~KNIGHTS~~	~~EVORD~~	~~723 WASHINGTON ST SW STE 5~~	~~GAINESVILLE~~	~~GA~~	~~30501-3512~~	770.538.0189
~~KOLNI~~ ~~KODAMA~~	~~ALAN~~	~~GLEN-ECHO~~ ~~1585 KAPIOLANI BLVD STE 1775~~	~~HONOLULU~~ ~~MD~~	~~20812-1207HI~~	~~304.263.8540~~ ~~96814-4525~~	808.792.7411
~~O-KEEFE~~ ~~KOHLMAIER~~	~~MICHAEL~~ ~~G~~	~~YORK~~ ~~STE 101 1681 CROWN AVE~~	~~MELANCASTER~~	~~03909-5882PA~~	~~207.363.1830~~ ~~17601-6303~~	717.392.3600
~~SIMPSON~~ ~~KRISKO~~	~~BARBARA~~ ~~BARRY~~	~~ADA~~ ~~1900 N MARKET ST~~	~~MEELIZABETHTOW~~ ~~N~~	~~49304-9038PA~~	~~616.288.2040~~ ~~17022-1133~~	717.361.0002
~~ABEL~~	~~REBECCA~~	~~PLEASANT RIDGE~~	~~MI~~	~~48069-1127~~		~~248.554.3942~~
~~PURLOW~~	~~LORNE~~	~~LIVONIA~~	~~MI~~	~~48152-7014~~		~~734.742.7565~~
~~VAN-DYK~~	~~MICHAEL~~	~~OKEMOS~~	~~MI~~	~~48864-3515~~		~~517.381.2332~~
~~SANTINI~~	~~STEVE~~	~~IRON MOUNTAIN~~	~~MI~~	~~49801-2400~~		~~906.774.5002~~
~~COOK~~	~~JAMES~~	~~TROY~~	~~MI~~	~~48098-6353~~		~~248.682.3800~~
~~BLUMHARDT~~	~~DARRELL~~	~~HOUGHTON~~	~~MI~~	~~49931-1986~~		~~906.485.1747~~
~~WEERSTRA~~	~~DEAN~~	~~HOLLAND~~	~~MI~~	~~49424-3313~~		~~616.298.7425~~
~~OLIVANT~~ ~~LAMBERT~~	~~CHERYL~~ ~~THOMAS~~	~~AMERIPRISE FINANCIAL SERVICES STE 150~~	~~VIRGINIA BEACH~~	~~MMVA~~	~~55792-2626~~ ~~23452-1293~~	218.741.2804757.321.3420
~~DONOVAN~~ ~~LANGLOIS~~	~~PETER~~ ~~KEVIN~~	~~WORTHINGTON~~ ~~230 CALIFORNIA ST STE 207~~	~~MMSAN FRANCISCO~~	~~56487-0488CA~~	~~507.372.2033~~ ~~94111-4347~~	415.538.0010
~~LAWLER~~	~~WILLIAM~~	~~124 NW FRANKILN AVE~~	~~BEND~~	~~OR~~	~~97703-2908~~	541.388.1877
~~LEIMGRUBER~~	~~RICHARD~~	~~STE 150 100 SUMMIT LAKE DR~~	~~VALHALLA~~	~~NY~~	~~10595-1394~~	914.747.0200
~~DUFRESNE~~ ~~LINDSTROM~~	~~THOMAS~~	~~OWATONNA~~ ~~STE 310 10050 INNOVATION DR~~	~~MMMIAMISBURG~~	~~55060-4498OH~~	~~507.444.0904~~ ~~145342-4967~~	937.433.0233
~~PARKS~~ ~~LININGTON~~	~~KENNETH~~ ~~WALTER~~	~~KALISPELL~~ ~~STE 195 18167 US HIGHWAY 19 N~~	~~MTCLEARWATER~~	~~59904-5342FL~~	~~406.257.7258~~ ~~33764-6566~~	727.535.1488
~~SHY~~ ~~LOGUE~~	~~WAYNE~~ ~~DUDLEY~~	~~BILLINGS~~ ~~4TH FLOOR 635 N 12TH ST~~	~~MTLEMOYNE~~	~~59104-4255PA~~	~~406.655.9228~~ ~~17043-1225~~	717.975.0202
~~VOGELE~~ ~~LONG~~	~~DAVID~~ ~~TYLER~~	~~BILLINGS~~ ~~3827 MILL CREEK RD~~	~~MTFLURAY~~	~~59102-7366VA~~	~~406.294.5000~~ ~~22835-6429~~	800.999.7129
~~HICKS~~ ~~LOW~~	~~KEVIN~~ ~~THEODORE~~	~~525 WINDSOR PARK DR~~ ~~CARY~~	~~NCDAYTON~~	~~27518-8119OH~~	~~919.854.5500~~ ~~45459-4112~~	937.312.8185
~~SMITH~~ ~~LYONS~~	~~ALBERT~~ ~~PATRICK~~	~~BOONE~~ ~~1536 W CHURCH ST~~	~~NCNEWARK~~	~~28607-6555OH~~	~~828.264.8990~~ ~~043055-1532~~	740.915.6077
~~MAHER~~	~~PATRICK~~	~~2900 E 96TH ST STE A~~	~~INDIANAPOLIS~~	~~IN~~	~~46240-0018~~	317.818.9365

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Last	First	Address	City	State	Zip Code	Bus Phone
RICEMANN	GURVEER ~~MATTHEW~~	CHARLOTTE1000 W 7 MILE RD STE 115	NCNORTHVILLE	~~28277-4784M~~ I	704.927.5814481 67-2659	248.277.3040
GAULDENMARTINEZ	DAVIDGARY	DURHAM8500 BLUFFSTONE COVE STE 105A	AUSTIN NC	~~27743-2264T~~ X	919.361.9898787 59-7809	512.795.0062
WILLIAMSMASON	JAMESLISA	WILMINGTON1710 JET STREAM DR	NCOLORADO SPGS	~~28405-3639C~~ O	910.256.3629809 21-3937	719.694.8711
MATHES	RYAN	SUITE 110 1610 WOODSTEAD CT	THE WOODLANDS	TX	77380-3403	281.362.1995
PERINOMAYNOR	PAUL	VINELAND415 MCFARLAN RD STE 215	NJKENNETT SQUARE	~~08361-6000P~~ A	856.690.9232193 48-2454	610.828.1786
MC CLURE	SUSAN	STE F 3929 MARTIN WAY E	OLYMPIA	WA	98506-5200	360.438.1611
RAFANOMC KINNON	MARKROBERT	110 EAST BRUNSWICKB ST	IRON MOUNTAIN NJ	~~08816-3755M~~ I	49801-3409 732.307.7080	906.774.6444
ALBERSMCDUGALL	KENNETHKIM	WESTWOODSUITE 200 5555 GLENRIDGE CONNECTOR	ATLANTA NJ	~~30767-3024G~~ A	204.497.8060303 42-4815	404.459.2392
BHAYANI	MCSWEEN	PARSIPPANY5621 STRAND BLVD STE 304	NJNAPLES	~~07054-3709FL~~ FL	973.428.6262341 10-7307	410.625.6442
NICOLOSI WALSH	ALFRED DANIEL	CHERRY HILL MARGATE	NJ NJ	~~08034-0840J~~ 08402-2712	856.532.2218 609.317.4825	
DEVLINMILLER	JAMES	MARGATE314 EXTON CMNS	NJEXTON	~~08402-2742P~~ A	609.317.4825193 41-2450	610.524.1200
BARONEMISIEWICZ	BRIANHEATHER	TOMS RIVER5 N 3RD AVE W STE 402	NJDULUTH	~~08755-1214M~~ N	732.286.1000558 02-1614	218.481.7277
OLIVER	ENID	RENO	NV	89521-3964	775.236.0515	
WICKES	RICHARD	RENO	NV	89521-3964	775.236.0515	
GLAVISH	JASON	RENO	NV	89521-3964	775.829.7210	
MECHAM	JOEY	RENO	NV	89521-3964	775.829.7210	
FENTON	B	RENO	NV	89509-6426	775.825.4240	
CATINCHI	GLORIA	WHITE PLAINS	NY	10604-3432	914.219.4634	
COHEN	JARED	TARRYTOWN	NY	10591-5522	914.730.1010	
TARRYMOORE	ROBERT	SHERILL709 MAIN STREET	NYRAPID CITY	~~13461-4207S~~ D	315.363.7704577 01-2737	605.791.5321
WYSEMULLINS	CYRILGENE	STE 101 12280 NICOLLET AVE S	NYBURNSVILLE	~~10505-1394~~ MN	914.747.0200553 37-1999	952.808.5422
VAILMUNSON	PAULBRIAN	BOHEMIA922 HIGHWAY 33 S	NYCLOQUET	MN	4174655720-2624	631.582.9770218.879. 6784
CODINO	ALBERT	BRIARCLIFF	NY	10510-1461	914.923.6490	
PELKONEN	ALLAN	MELVILLE	NY	11747-3601	631.396.1032	
GROSS	STEVEN	BRIARCLIFF	NY	10510-1467	914.902.4400	
HERRON	WAYNE	ALBANY	NY	~~12205-1444~~	518.380.2020	
DEVANEY	PATRICK	JEFFERSON VLY	NY	10535-1513	914.214.8875	
SPEER	CHARLES	WEBSTER	NY	14580-1743	585.671.0004	
TOGMAN	ALAN	TARRYTOWN	NY	10591-5522	914.909.5477	
CILIBERTI	LOUIS	PLAINVIEW	NY	11803-4915	631.293.2260	
LEVY	MARC	NEW YORK	NY	10018-1390	212.578.4885	
ARMON	HARRY	HAUPPAUGE	NY	11788-4459	516.277.8350	
POULIN	LOUIS	ALBANY	NY	12205-2623	900.000.0000	
ROTH	RONALD	EATON	OH	45320-1705	937.336.5730	
RIEDY	RAYMOND	SANDUSKY	OH	44870-5081	419.626.5509	
BERGMAN	PAUL	CINCINNATI	OH	~~45227-4549~~ 44718-3681M	513.272.3223	
BENNERMYERS	JEFFREY	CANTONSTE 280 10880 175TH CT W	OHlakeville	~~44718-3681M~~ N	330.493.0063550 44-7701	651.460.2040
SEELEYNANKIVELL	WARREN	MARTHA COLUMBUSSTE D 2805 EASTERN AVE	OHDAVENPORT	~~43240-4039A~~ 97423-4036N	330.263.1930528 03-2074	563.323.0072
EISCHENNATALO	JEFFREYJOHN	HILLSBORO2875 ROUTE 35 STE PROJECT GN-300	ORKATONAH	~~97423-4036N~~ Y	971.727.8434105 36-3181	914.617.8100
VARZALLY	MARK	ERIE	PA	16502-1302	814.333.1220	
MADDEN	ANTHONY	DALLAS	PA	18612-9253	570.675.9397	
TANNERNAUMAN	DOUGLASGREGO	STE 1 180 GOOD DR	LANCASTER	PA	47601-650917603-4359	717.434.2996735.6993
LEONARDO	MICHAEL	WARWICK	RI	02886-1774	401.681.4620	
LANGDON	REGGY	COLUMBIA	SC	29201-2630	803.750.9337	
CABRI	CHRISTOPHER	GREENWOOD	SC	29646-2756	864.388.0828	
SMITH	STEPHEN	COOKEVILLE	TN	38504-3233	931.520.0283	
KEAR	EARL	KNOXVILLE	TN	37923-4520	865.531.9185	

~~LAUDADIO~~ NAVE	~~CARY~~ LISA	STE 360 8310 N CAPITAL OF TX HWY	AUSTIN	TX	~~78759-5698~~ 78731-1077	512.744.48044194	
~~BENDER~~ O'CONNOR-MUNSEY	~~DENISE~~ ~~FOOD~~	~~ROUND ROCK~~ 100 S MAIN ST PO BOX 246	~~TX~~ MCPHERSON	~~TX~~	~~78665-3964~~ K S ~~76015-4344~~ C	512.986.5569674 60-0246	620.241.8055
~~KINNEY~~ OKAZAKI	~~DERRICK~~ RAY	~~ARLINGTON~~ STE 190 3900 KILROY AIRPORT WAY	~~TX~~ LONG BEACH	~~TX~~	~~76015-4344~~ C A	847.419.6004908 06-6815	714.827.1994
OLSON	~~DONALD~~	STE 207B 135 PARK AVE	BARRINGTON	IL		60010-4354	847.358.9102
OLSON	JOHN	34 2ND ST NW STE 300	HICKORY	NC		28601-6114	828.324.0127
PALKOWITSH	BRIAN	201 E OKLAHOMA AVE	ULYSSES	KS		67880-2553	620.424.1774
PAULSON	DONALD	8712 GULL RD PO BOX 407	RICHLAND	MI		49083-0407	269.629.6040
PFISTER	~~JAMES~~	STE 1 55 ALBIE LN	EASTON	PA		18042-9513	610.559.7725
PINNOW	~~STEVEN~~	1111 31ST AVE SW	MINOT	ND		58701-2018	701.837.9226
~~HENRY~~ RAMACHANDRAN	~~LEON~~ CHANDRU	~~WEATHERFORD~~ STE 104 7101 GUILFORD DR	~~FREDERICK~~ TX	~~TX~~	~~76086-4833~~ M D ~~22180-4448~~ N	21704-5198	~~301.682.243.3434~~ 8400
~~HALSALL~~ RIOLO	~~ARCHIBALD~~ DOMINICK	~~STE 406 254 S MAIN STREET~~ ~~VIENNA~~	~~VA~~ NEW CITY	~~VA~~	~~22941-8836~~ M I ~~98419-4292~~ M	703.255.7094109 56-3363	845.478.6611
~~DENNEY~~ ROSIER	~~GERALD~~ ADAM	~~CHARLOTTESVILLE~~ AMERIPRISE FINANCIAL SERVICES 23054 CHERRY HILL	~~VA~~ DEARBORN	~~VA~~	~~98419-4292~~ M D ~~99201-4537~~ M	434.202.0457481 24-1066	313.216.0133
~~LUU~~ RUNKLES	~~HUEY~~ BRIAN	~~SEATTLE~~ STE 104 7101 GUILFORD DR	~~WA~~ FREDERICK	~~WA~~	~~99201-4537~~ M T ~~54494-6304~~ IL	206.249.5250217 04-5198	301.360.9840
~~BARTCH~~ SAUER	~~RICHARD~~ PETER	~~SPOKANE~~ 90 SUNNYBROOK LN	~~WA~~ SOMERS	~~WA~~	~~54494-6304~~ IL 6304IL	509.747.6394599 32-9730	406.756.8650
~~TERMAAT~~ SCHRADER	~~FRANCES~~ ~~DAVID~~	~~WISC RAPIDS~~ 47 W POLK ST STE 325	~~WI~~ CHICAGO	~~WI~~	~~54914-5491~~ 4 54914-5491	745.422.7604606 05-2175	312.542.9618
~~MAARESS~~ SCHUETTPELZ	~~CODY~~ DIANE	2212 E EVERGREEN DR	APPLETON	WI		654054913-9002	920.993.2264954.8679
~~PIZZO~~ SCHULMAN	~~ANTHONY~~ JOHANNA	~~APPLETON~~ STE 206 2285 MASSACHUSETTS AVE	~~WI~~ CAMBRIDGE	~~WI~~	~~54914-6533~~ M A ~~54220-2962~~ M	920.731.1758021 40-1261	617.354.0904
~~KNABS~~ SCHWARTZ	~~BRIAN~~ ~~STEVEN~~	~~MANITOWOC~~ STE 350 1907 WAYZATA BLVD	~~WI~~ WAYZATA	~~WI~~	~~54220-2962~~ M N	920.682.1419553 91-2081	612.702.2432
SHELTON	DONALD	869 W BAXTER DR	SOUTH JORDAN	UT		84095-8506	801.984.2711
SHONBRUN	~~HELEN~~	508 S FRONT STREET	PHILADELPHIA	PA		19147-1702	215.238.1029
SILVA	LAUREN	1103 W CLEVELAND ST	TAMPA	FL		33606-1914	813.870.0892
STEGMAN	MARK	AMERIPRISE FINANCIAL SERVICES STE 100B	PLANO	TX		75023-7017	972.543.4850
STILLMAN	DENIS	STE 1 1251 NILLES RD	FAIRFIELD	OH		45014-7205	513.939.2170
STROW	CRAIG	224 FRANKLIN AVE STE 18	HEWLETT	NY		11557-1928	516.569.5867
TOLER	KEVIN	STE 310 38 COMMERCE AVE SW	GRAND RAPIDS	MI		49503-4143	616.977.2639
TORRES	~~EDWARD~~	STE 160 180 N RIVERVIEW DR	ANAHEIM	CA		92808-1228	714.998.3774
TREADWELL	MICHEILEEN	STE 200 EXECUTIVE WOODS 4 ATRIUM DR	~~ALBANY~~	NY		~~12205-1441~~	518.438.5500
~~CHILDERS~~ TUFTS	~~JOHN~~ ~~PAUL~~	STE 100 1110 FOURIER DR	MADISON	WI		~~53743-2324~~ 53717-1949	608.849.0505829.6622
~~WARTNER~~ UNGER	~~MATTHEW~~ ~~CHARLES~~	~~BENTON~~ STE 1860 434 FAYETTEVILLE ST	~~WI~~ RALEIGH	~~WI~~	~~53803-0046~~ N C ~~54914-6540~~ T	608.759.2025276 01-3004	919.578.9014
~~SIGLER~~ URQUHART	~~ELIZABETH~~ SAMUEL	~~GRAND CHUTE~~ 222 E MAIN ST	~~WI~~ SEVIERVILLE	~~WI~~	~~54914-6540~~ T N ~~26404-1854~~ M	920.993.2264378 62-3533	865.428.0744
~~MURPHY~~ VANCIL	~~DAVID~~ ~~FREDERICK~~	~~PARKERSBURG~~ 70 PARKER ST	~~WA~~ GARDNER	~~WI~~	~~26404-1854~~ M A ~~26301-2804~~ S	304.485.7005014 40-3809	978.630.2202
~~HUNTER~~ WAGNER	~~BRADLEY~~ ~~SUSAN~~	~~CLARKSBURG~~ STE 101 5120 S WESTERN AVE	~~WI~~ SIOUX FALLS	~~WI~~	~~26301-2804~~ S D	304.623.6060571 08-2664	605.332.4600
WEAVER	KEVIN	8310 N CAPITAL OF TEXAS HWY SUITE 360	AUSTIN	TX		78731-1077	512.744.4198
WOLFE	THOMAS	STE 100 8325 WAYZATA BLVD	GOLDEN VALLEY	MN		55426-1399	763.543.5155

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EXHIBIT L

GDC CALCULATION EXAMPLES

NOTE: These examples reflect rates generally effective as of January of ~~2021~~2022. The GDC Product Rates may change at any time. Additionally, GDC Payout Rates may change. Please refer to the Compensation Reference Guide for complete and the most recent information.

1. Ameriprise Financial Planning Service (“AFPS”)

Eligible for Sale/Compensation

- Compensation is paid with applicable licensure and fulfilled requirements.

GDC Overview

TOS GDC (New Business)

- The GDC Rate is set as a percentage of the Client Fee
- TOS GDC is not paid on the discounted portion from a coupon.

Trail GDC (Client Service)

Not applicable

GDC Rates

Engagement Period (Contract Term Period)	TOS GDC Rate	Trail GDC Rate
AFPS	100%	N/A

Hypothetical Example Assumptions:

- ~~An~~ Advisor sells ~~aan~~ AFPS plan for \$1,500
- Product GDC Rate ~~is~~: 100%
- ~~P2~~ ~~Advisor with an~~ Advisor’s Payout Rate: 85% payout

Calculating TOS GDC and Commission	
Step 1:	(Client Fee) x (Product GDC Rate) = TOS GDC \$1,500 x 100% = \$1,500 TOS GDC
Step 2:	TOS GDC x Advisor Payout Rate = GDC Commissions \$1,500 x 85% = \$1,275 GDC Commissions

2. Advisory Solutions (Managed Accounts~~*)~~)

Eligible for Sale/Compensation

- ~~With the~~ Compensation is paid with applicable licensure and fulfilled requirements

GDC Overview

TOS GDC (New Business)

- Total ~~Asset-based fee is~~ Advisory Fee Rate + Manager Fee (if applicable) + Program Fee (if applicable) + ~~AFPSAFS~~ Fee (if applicable)
- The GDC Rate is set at 100% of the Advisory Fee less Administration ~~fee~~ (“Admin”) Fee plus Global Admin Fee (“GAF”) discount (if applicable).
- The annual minimum ~~Administration fee for all managed accounts is \$300. The minimum Administration fee is charged on Admin Fee is \$100 per advisory account household and is applied to households below \$115,000, pro-rata across all accounts in the household. Households of less than \$115,000 of advisory account Assets Under Management (“AUM”).~~

~~Households of \$115,000+ will be charged or more have~~ the calculated ~~Administration~~Admin Fee applied which may ~~or may not~~ be less than \$300.

- ~~Compensation is only paid after the pro-rata portion of the \$300~~\$100 annual minimum ~~is met.~~Admin Fee
- ~~Negative GDC will not be assessed across advisory for households less than \$115,000 when the annual minimum Admin Fee of \$300 is applied~~
- ~~The GAF discount doesn't apply when the minimum Admin Fee is invoked or for advisory households less than \$150,000~~

Trail GDC (Client Service)

~~Not applicable.~~

- Net contributions of \$10,000 or more in a single business day will result in an asset-based fee billed to the account on the amount of the net contribution
 - Compensation is reflected in that compensation cycle
- 12b-1 Fees
 - Collected by the fund family and paid to Ameriprise, automatically rebated to the client's advisory accounts
 - Paid by fund families and are not paid to the advisor

Standard Administration (“Admin”) Fee Rates:

Household Advisory Solutions Assets Under Management	Administrative Fee*
<\$115,000	~~\$300 minimum fee~~ \$100 per advisory account household
\$115,000 - \$150,000	0.26%
\$150,000 - \$500,000	0.26%
\$500,000 - \$749,999	0.22%
\$750,000 - \$1,999,999	0.20%
\$2,000,000 - \$4,999,999	0.14%
\$5,000,000 - \$9,999,999	0.09%
\$10,000,000 - \$24,999,999	0.07%
\$25,000,000 +	0.04%

*Qualified advisors are eligible for a discount from the standard Admin Fee.

Hypothetical Example Assumptions:

- Advisory Fee: \$202.02
- Administration (“Admin”) Fee: \$44.95
- ~~Advisory Fee \$202.02~~
 - Program Advisor does not qualify for GAF discount
 - GDC Rate is: 100% less Administration the Admin Fee
 - ~~P2 Advisor with an~~ Advisor’s Payout Rate: 85% payout

	Calculating TOS GDC and Commission
Step 1:	(Advisory Fee) - (Admin Fee) = TOS GDC \$202.02 - \$44.95 = \$157.07 TOS GDC (Net Wrap Fee)
Step 2:	TOS GDC x Advisor Payout Rate = GDC Commissions \$157.07 x 85% = \$133.51 GDC Commissions

3. Variable Universal Life 6 TOS and Trail GDC:

RiverSource Variable Universal Life 6 (RiverSource Life Insurance Company) [VUL6]

Eligible for Sale/Compensation

Compensation is ~~only~~ paid on transactions after the product is eligible for sale, ~~in approved states,~~ with applicable licensure.

- ~~To determine product availability in your and as approved in each state, refer to Advisor Compass.~~
- ~~The effective date is for national and New York policies received in the corporate office after~~ Effective Date: February 21, 2019.

GDC Overview

TOS GDC (New Business)

- The GDC Rate is applied to the Target premium to determine TOS GDC.
- GDC paid on excess and renewal premiums are classified as TOS GDC.
- Temporary flat extra ratings are not included in the Target premium.

Trail GDC (Client Service)

- The GDC Rate is set as a percentage of the cash value in the policy.
- No Asset Based Compensation ~~(“ABC”)~~ is paid on Option A.

- Annual ABC Rate on Options B and C, ~~is~~ paid quarterly.
- For ~~Option~~Options B and C, ABC is classified as Trail GDC.
- If the policy includes the Accounting Value Increase Rider, Option D is the only available option
 - Option D is not available on a policy that does not include ~~in~~ the Accounting Value Increase Rider

~~Refer to Table below for specifics.~~

GDC Rates

Option	TOS GDC Target Premium	TOS GDC Excess/Renewals Premium	ABC Annual %
A	90%	• 2.50% Excess Year 1 • 2.00% Years 2-10 • 0.00% Years 11+	0.00% All Years
B	80%	• 2.50% Excess Year 1 • 2.00% Years 2-30 • 0.00% Years 31+	0.125% Year 2+
C	35%	• 2.50% Excess Year 1 • 0.00% Years 2+	1.00% Years 2-15 0.25% Years 16-30 0.00% Years 31+
D	45%	• 2.50% Excess Year 1 • 5.00% Years 2-5 • 3.75% Years 6-10 • 0.00% Years 11+	0.00% All Years

Maximum Annualized GDC

\$25,000-00

Advisor Payout Rates

All GDC Rates are subject to the applicable Advisor Payout Rate.

Compensation Timing

Compensation is credited after the business is processed, which includes Ameriprise Financial having received payment by RiverSource Life Insurance Company & RiverSource Life Insurance Co. of New York for ~~the~~ sale of the product(s).

RiverSource Life Insurance Company & RiverSource Life Insurance Co. of New York will credit compensation when the policy is active and in force. Under no circumstances is compensation paid on pending policies or on policies ~~or on policies~~ that are issued and not in force.

4. RiverSource 10 - 15 - 20 - 30-year Term Insurance ~~---~~ (RiverSource Life Insurance Company)

Eligible for Sale/ Compensation

- ~~This product is eligible for sales/compensation.~~
- Compensation is ~~only~~ paid on transactions after the product is eligible for sale, ~~in approved states,~~ with applicable licensure
 - ~~The effective date is for national~~ and ~~New York policies received in the corporate office after May 1, 2020~~ as approved in each state
 - Effective Date: May 2, 2020

GDC Overview

TOS GDC (New Business)

The GDC Rate is set as a percentage of the first year Premium, net of the \$70 policy fee and temporary flat extra premium, if applicable.

Trail GDC (Client Service)

Not applicable

GDC Rates

Term Type/ All Rate Bands	RiverSource Life Insurance Company		RiverSource Life Insurance Co. of New York	
	TOS GDC	TOS GDC ~~/~~ Renewals Years 2+	TOS GDC	TOS GDC ~~/~~ Renewals Years 2+
10 Year Term	65%	NA	65%	NA
15 Year Term	75%	NA	70%	NA
20 Year Term	85%	NA	70%	NA
30 Year Term	85%	NA	70%	NA

Maximum Annualized GDC
\$25,000

Advisor Payout Rates

- All GDC Rates are subject to the applicable Advisor Payout Rate.

5. Mutual Funds

Eligible for Sale/Compensation

- Compensation is only paid on transactions after the product is eligible for sale ~~and~~, with applicable licensure ~~and as approved in each state~~
- Effective Date: ~~Sept.~~ September 7, 2010

~~GDC Overview~~

~~TOS GDC (New Business)~~

GDC Overview

TOS GDC (New Business)

- The ~~Class A front-end load TOS~~ GDC Rate is based on the ~~client's Rights front-end sales load percentage relative to the client's rights~~ of accumulation ("ROA") breakpoint ~~as defined by the specific Fund's prospectus and is a percentage of~~ achieved on qualifying fund assets within the investment.
- ~~client's primary household group.~~ For more information about ~~which share classes are eligible for aggregation, please~~ breakpoints, refer to the fund's ~~prospectus or the share class analyzer.~~ prospectus.

12b-1 Trail GDC (Client Service)

- Paid as a ~~percent~~percentage, based on the average daily assets, on the respective ~~firms~~firm's schedule.
- Pays ~~monthly or quarterly in arrears~~immediately or delayed for up to 13 months, based on the fund/share class
- Mutual funds are capped at 25 basis points for all share classes, except for Class C and R which are not capped
- ~~Please~~Certain money market mutual funds are capped at 10 basis points on positions in brokerage and are not paid on positions in managed accounts
- For more information, refer to the ~~specific Fund~~fund's prospectus ~~for more detail~~

6. RiverSource-RAVA 5 Advantage - 7-Year and RAVA 5 Advantage - 7-Year NY

Eligible for Sale/Compensation

- ~~In all approved states~~Compensation is paid on transactions after the product is eligible for sale, with applicable licensure and as approved in each state
- Effective Date: July 19, 2010

GDC Overview

~~of Commission Options~~ TOS (Base Commission)

- The base commission rate is determined and paid based upon the attained age of the oldest owner (oldest annuitant if the contract is owned by a trust or company, referred to as a non-natural owner) at the time the premium or add-on is received by the company.
- Compensation is paid for purchase payments received in any contract year.

Trail Commission

- The trail commission rate is determined and paid based upon the issue age of the oldest owner (oldest annuitant if the contract is owned by a trust or company, referred to as a non-natural owner).
- Begins after the first anniversary of the Effective Date of the contract.
- Annual rate paid quarterly based on the accumulation value (including earnings accrued), as of the calendar quarter end, less any premium payments received in the prior 12 months.
- If there is an ownership change on an annuity contract, the trail commission rate is updated based upon the age of the oldest new owner when the change occurs (oldest annuitant if the contract is owned by a trust or company, referred to as a non-natural owner).

TOS (Base Commission) Rates:

Attained Age 0-80

Option	Base Commission
A	7.00%
B	5.50%
C	4.00%
D	2.00%

Attained Age 81-85

Option	Base Commission
A	3.50%
B	2.75%
C	2.00%
D	1.00%

Attained Age 86+

Option	Base Commission
A	1.750%
B	1.375%
C	1.000%
D	0.75%

Trail Commission Rates:

Issue Age 0-85

Option	Trail in Contract Year 1	Trail in Contract Year 2+
A	0.00%	0.00%
B	0.00%	0.25%
C	0.00%	0.50%
D	0.00%	1.00%

Issue Age 86+

Option	Trail in Contract Year 1	Trail in Contract Year 2+
A	0.00%	0.00%
B	0.00%	0.25%
C	0.00%	0.50%

D	0.00%	0.75%

Advisor Payout Rates

- All GDC Rates are subject to the applicable Advisor Payout Rate.

7. Brokerage — Equities, Fixed Income, and Options:

Eligible for Sale/Compensation

• Effective dates: Sept. 1, 2010

- Compensation is paid on transactions after the product is eligible for sale, with applicable licensure and as approved in each state
- Effective Date: September 1, 2010

GDC Overview

TOS GDC (New Business)

approved in each state.

~~GDC Overview~~

~~TOS GDC (New Business)~~

- Paid at a GDC Rate of 100%, based on the client commission.
- Paid on client-initiated phone transactions and advisor-initiated transactions on client commissions for Equities of \$75 or greater.
- Paid on client-initiated phone transactions and advisor-initiated transactions on client commissions for Fixed Income and Options of \$50 or greater

~~Income and Options of \$50 or greater.~~

- Advisors do not receive compensation on client-placed Equity or Option Online/Web ~~(on-line)~~ transactions.
- Advisors do not receive compensation on corporate office-initiated trades for Equities, Fixed Income or Options (e.g., maintenance liquidations, legal orders, etc.).

Trail GDC (Client Service)

Not applicable

GDC Rates

Advisor Access Method	TOS GDC Rate	Trail GDC
Customer Service Representative	100% of client commission	N/A
Advisor Trading via ~~On-line~~ Online and EAL Quotes & Trading	100% of client commission	N/A
Client-placed Phone Transactions	100% of client commission	N/A

Hypothetical Example Assumptions:

- Client buys a stock ~~and the Client Commission was~~ with a client commission of \$100
- Product GDC Rate ~~is:~~ 100%
- ~~P2~~ Advisor ~~with an~~ Payout Rate: 85% ~~payout~~

Calculating TOS GDC and Commission	
Step 1:	(Client Commission) x (Product GDC Rate) = TOS GDC (\$100) x 100% = \$100.00 TOS GDC
Step 2:	TOS GDC x Advisor Payout Rate = GDC Commissions \$100.00 x 85% = \$85.00 GDC Commissions

8. Nuveen Global Cities REIT:

Eligible for Sale/Compensation

- Compensation is paid on transactions after the product is eligible for sale, with applicable licensure and as approved in each state ~~approved in each state.~~
- All transactions are subject to review by the Centralized Supervision Unit ~~(CSA)~~ (“CSU”) and compensation paid to advisors may be reversed if a transaction is deemed unsuitable or if an offer of rescission is accepted.
- Effective Date: July 11, 2019

GDC Overview

TOS GDC (New Business)

- Based on the dollar amount invested.
- This offering includes TOS commissions.

Trail GDC (Client Service)

- This offering includes an ongoing shareholder servicing fee which is based on the net asset value of the shares at month-end and is paid on a monthly basis.
- Once the fund ~~it~~ hits cap on distribution compensation, clients are converted into Class I shares.
- Class I shares do not have a shareholder servicing fee.

GDC Rates

Upfront Selling Commission

Amount of Investment	Upfront Selling Commission
\$0 - \$149,999	2.0%
\$150,000 - \$499,999	1.5%
\$500,000 - \$999,999	1.0%
\$1,000,000 ~~and up~~ <u>+</u>	0.5%

Trail GDC Rates

Trail Grid	~~AMPE~~ GDC Rates	Trail Compensation Rates
Year 1	0.85%	0.85%
Year 2	0.85%	0.85%
Year 3	0.85%	0.85%
Year 4	0.45%	0.45%

Trail compensation is based upon the Net Asset Value ~~{("NAV")}~~ of Nuveen Global Cities REIT. As such, the time at which trail compensation is paid may fluctuate depending on changes to the NAV.

- For instance, if the ~~Net Asset Value~~ NAV increases, trail compensation is paid more quickly than anticipated.
- Advisors receive trail compensation until the total of the upfront compensation and trail compensation equals 5%.
- For clients who received volume discounts, advisors receive compensation for a longer time frame.

Important Disclaimer

This document does not create any contractual rights to an independent contractor/franchisee. Nor does this document create a contract of employment or a contract for any specific term or condition of employment between Ameriprise Financial Services, LLC and an employee or independent contractor/franchisee. The relationship between Ameriprise Financial Services, LLC and an employee is at-will, meaning ~~that~~ either the company or the employee or the company may terminate it at any time for any reason, with or without advance notice or progressive disciplinary action. ~~The company~~ Ameriprise Financial reserves the right to make changes ~~in~~ or discontinue ~~company's~~ policies, compensation plans, benefits, and programs as it deems appropriate, and ~~thesesuch~~ changes may be implemented even if they have not been communicated in this (or by change to this) document or otherwise.

If this document refers to any company benefit program, it describes only certain highlights of the ~~company's~~ benefit program. It does not supersede the actual provisions of the applicable plan documents, which in all cases are the final authority. The applicable plan administrator has the sole authority and discretion in determining eligibility and in administration and interpretation ~~and administration~~ of the plans.

Ameriprise Financial Services, LLC takes reasonable efforts to ensure the accuracy of the contents of policy documents and in the administration of its policies and programs. ~~The company~~ Ameriprise Financial does not assume responsibility for consequential damages caused by administrative or clerical errors.

EXHIBIT M
LOAN AND SECURITY AGREEMENT

This Loan and Security Agreement (the “**Agreement**”), dated as of date, is by and between Ameriprise Financial Services, LLC, a Delaware limited liability company, headquartered at 55 Ameriprise Financial Center, Minneapolis, Minnesota, 55474 (“**Lender**”), and advisor name, _____, who resides at home address (“**Borrower**”).

- A. Borrower is an Independent Advisor of Lender (**Advisor No.:**) _____ and is party to an Ameriprise Financial Services, LLC Independent Advisor Business Franchise Agreement, dated **signature date**, with Lender (as may be amended from time to time, the “**Franchise Agreement**”) which grants certain rights to Borrower to operate a financial advisory practice under the trademarks of Lender (the “**Business**”); and
- B. Lender has established an Experienced Advisor Recruiting Installment Loan Program (the “**Program**”) in order to help Independent Advisors build and develop their businesses, as Lender has defined in the Program.

Now, therefore, in consideration of their mutual covenants herein contained, Borrower and Lender, intending to be legally bound, hereby mutually covenant and agree as follows:

1. **DEFINITIONS.** All capitalized terms used in this Agreement that are not defined herein shall have the same meanings ascribed to them in the Franchise Agreement.
~~meanings ascribed to them in the Franchise Agreement.~~

2. **LOAN.**

Loan Amount; Funding. Subject to the terms and conditions of this Agreement and in reliance upon Borrower’s representations and warranties herein, Lender hereby agrees to make a loan to Borrower in the principal amount of \$10,117.00 (the “**Loan**”). The Loan shall be funded by Lender, via wire transfer of immediately available funds to an account designated in writing by Borrower, upon satisfaction of the conditions described in Section 8 of this Agreement, including without limitation Borrower’s execution and delivery to Lender of a promissory note substantially in the form of Schedule A hereto (the “**Note**”).

Interest. Interest shall accrue on the unpaid principal balance of the Loan at a per annum fixed rate of % and shall be computed on the basis of a 365-day year (or 366-day year in case of a leap year) for the actual number of days elapsed. If, at any time, the rate or amount of interest or any other charges payable under this Agreement exceeds the maximum rate or amount permitted under applicable law, then for such time as such rate or amount is excessive, the rate set forth above shall be suspended and there shall be charged the maximum rate or amount permitted under such law.

Disclosure of Loan by Lender. Borrower hereby authorizes Lender to share information concerning the Loan, including the existence, details and status thereof, with third parties, including as required by applicable laws and regulations as well as with credit reporting agencies.

3. **PAYMENT TERMS.**

Installment Payments. Payments of principal and interest due in connection with the Loan shall be made in number (number) equal monthly installments (each, an “**Installment Payment**”). The amount of each Installment Payment, as well as information regarding the due date for the first Installment Payment and the monthly date on which Installment Payments shall thereafter be due (each such date, a “**Payment Date**”) are set forth in the Note. Each Installment Payment shall first be applied to previously unpaid amounts or fees, then to interest due and finally to the outstanding principal balance. Whenever an Installment Payment is due and payable on a day that is not a Business Day, such Installment Payment shall be due and payable on the next succeeding Business Day. For purposes of this Agreement, “**Business Day**” means any day other than a Saturday, Sunday or other day on which commercial banks in the State of Minnesota are authorized or required by law to close. As soon as is reasonably practicable following the funding of the Loan, Lender (or an affiliate of Lender) shall deliver to Borrower in writing additional details regarding payment timing and procedures.

Late Payments. In addition to Lender’s rights set forth in Section 10 related to Events of Default (defined below), in the event any Installment Payment owed by Borrower pursuant to this Agreement becomes more than thirty (30) days overdue, Borrower acknowledges and consents to Lender’s deducting of such overdue amounts from Borrower’s advisor Compensation payable under the Franchise Agreement. Borrower also acknowledges and agrees that additional fees may apply, as described in the Note, in the

event an Installment Payment is not made by an applicable due date or if any check or other instrument delivered for payment is dishonored for any reason.

~~reason-~~

Full Prepayment. Borrower may prepay the Loan in full at any time without penalty. The Loan shall be deemed paid in full, and the Agreement terminated, upon Borrower's payment of the outstanding principal amount and any interest accrued thereon, as well as any previously unpaid amounts or fees, as of such payment date.

Partial Prepayment. Borrower may prepay the Loan in part at any time without penalty. For any partial prepayment, Lender shall first apply the payment amount to any previously unpaid amounts or fees, then to interest due and finally to the outstanding principal balance. Following any partial prepayment, Borrower shall continue to make, in full, regularly scheduled monthly Installment Payments until Borrower's obligations under this Agreement are satisfied.

4. SECURITY INTEREST.

- A. Grant of Security Interest. For the purpose of securing repayment of the Loan, Borrower hereby grants to Lender a security interest in all of the intangible and tangible assets of the Business, together with any and all proceeds therefrom, whether now owned or hereafter acquired (including without limitation, customer lists and accounts receivable, goodwill, books and records and any revenue earned from the Business following the date hereof)(collectively, the "**Collateral**").
- B. Perfection of Security Interest. Borrower shall, upon the request of Lender, execute any and all financing statements, agreements and other instruments in a form satisfactory to Lender, and take all further actions that may be required under applicable law, in order to grant, preserve, protect and perfect the validity and first priority of Lender's security interest in the Collateral. Borrower further agrees that Lender may unilaterally take any and all actions necessary to preserve, protect and perfect the validity and first priority of Lender's security interest in the Collateral to the extent permitted under applicable law.

5. BORROWER'S REPRESENTATIONS AND WARRANTIES. In order to induce Lender to enter into this Agreement and to make the Loan, Borrower represents and warrants to Lender as follows:

- A. Authority; Binding Agreement. Borrower has all requisite power and authority to carry on the Business as now conducted, to enter into this Agreement and the Note and to carry out the transactions contemplated hereby and thereby. This Agreement and the Note have been duly executed and delivered by Borrower and are the legally valid and binding obligation of Borrower, enforceable against Borrower in accordance with their respective terms.
- B. Absence of Restrictions and Conflicts. The execution, delivery and performance by Borrower of this Agreement and the Note and the consummation of the transactions contemplated hereby and thereby do not and will not (i) violate any provision of any law or any governmental rule or regulation applicable to Borrower or any order, judgment or decree of any court or other Governmental Authority binding on Borrower, (ii) conflict with, result in a breach of or constitute (with due notice or lapse of time or both) a default under any other contractual obligation of Borrower, or (iii) result in or require the creation or imposition of any lien upon the Collateral (other than any liens created in favor of Lender under this Agreement or the Note). For purposes of this Agreement, the term "**Governmental Authority**" means any federal, state, local or foreign governmental or regulatory authority, agency or commission, court or other legislative, executive or judicial governmental entity, or any governmental or non-governmental self-regulatory organization, including, but not limited to, the Financial Industry Regulatory Authority ("**FINRA**").
- C. Title to Collateral. Subject to the terms of the Franchise Agreement, Borrower has the authority to pledge the Collateral pursuant to the terms of this Agreement, and Borrower's title to the Collateral is free and clear of any adverse claims, liens, security interests, or encumbrances.
- D. Litigation; Adverse Facts. There are no proceedings (at law or in equity, or before or by any court or other Governmental Authority) that are pending or, to the knowledge of Borrower, threatened against or affecting Borrower or the Collateral. Borrower is not (i) in violation of any laws applicable to the Business or the Franchise Agreement, (ii) in violation of the Franchise Agreement or (iii) subject to or in default with respect to any final judgments, writs, injunctions, decrees, rules or regulations of any court or other Governmental Authority.

- E. Payment of Taxes. All federal, state and other tax returns and reports of Borrower required to be filed have been timely filed, and all taxes shown on such tax returns to be due and payable and all material assessments, fees and other governmental charges upon Borrower and Borrower's properties, assets, income, businesses and franchises that are due and payable have been paid when due and payable.
- F. No Misrepresentations or Omissions. The financial statements, reports and other information furnished by or on behalf of Borrower for Lender's review and assessment of the transactions contemplated by this Agreement are true, correct and complete, fairly represent in all material respects both the personal financial condition of Borrower and the financial performance and condition of the Business and do not contain any material misstatement of fact or omit any material fact necessary to make the statements therein not misleading. Any financial statements provided with respect to the Business: (a) are in accordance with Borrower's books and records; (b) are true, correct and complete and fairly present in all material respects the financial performance of the Business as of the dates of such financial statements; and (c) have been consistently prepared in accordance with the accounting principles applied, and in the manner used, for the preparation of Borrower's financial statements for previous fiscal periods.
6. **BORROWER'S AFFIRMATIVE COVENANTS**. Borrower covenants and agrees that, so long as this Agreement remains in effect, unless Lender shall otherwise give express written consent, Borrower shall perform the following covenants:
- A. Use of Proceeds. Borrower agrees that the proceeds of the Loan shall be used solely for the purpose of developing the Business.
- B. Existence of Business; Properties. Except as otherwise contemplated by this Agreement, Borrower shall operate the Business: (i) as an Independent Financial Advisor Business in accordance with the Franchise Agreement; and (ii) in the ordinary course and consistent with past practice in all material respects and use commercially reasonable efforts to preserve the Business and relationships with its Clients. Borrower shall maintain or cause to be maintained in good repair, working order and condition all properties used or useful in the Business (including all intellectual property).
- C. Offer and Sale of Business to Lender.
- (1) In the event Borrower desires: (A) to sell or otherwise transfer in whole or in part, whether directly or indirectly, all or any part of the Business or (B) to otherwise exit the Business, Borrower shall provide written notice to Lender of such intent.
- (2) Borrower shall only be permitted to offer, sell or otherwise transfer, whether directly or indirectly, all or any part of the Business to Lender (or a designated affiliate thereof) or, with Lender's written consent, to another Independent Advisor (a "Potential transaction"). Each of Borrower and Lender acknowledges and agrees that, unless and until definitive transaction documentation related to the purchase of the Business has been executed by the parties (and subject to such limitations and restrictions as may be specified therein), neither Borrower nor Lender (nor any affiliate of Lender or Independent Advisor) shall be under any legal or other obligation of any kind whatsoever with respect to a Potential Transaction.
- (3) In the event Lender (or a designated affiliate thereof) purchases the Business or any portion thereof from Borrower, Lender (or the designated affiliate) shall be permitted to set off from the purchase price owed to Borrower any amounts owed by Borrower pursuant to this Agreement (including the outstanding principal amount and any interest accrued thereon, as well as any previously unpaid amounts or fees).
- D. Compliance Requirements. Borrower shall comply in all material respects with the Franchise Agreement and all of Lender's applicable policies and procedures, including but not limited to Lender's Code of Conduct, as currently in effect and as may be modified from time to time (collectively, "Lender's Policies and Procedures"). In the event Borrower becomes aware of Borrower's noncompliance with Lender's Policies and Procedures, Borrower shall, as promptly as is reasonably practicable upon obtaining such knowledge, deliver to Lender written notice specifying the nature and period of such noncompliance. Following the delivery of such notice to Lender, or upon written or oral notice from Lender to Borrower indicating Borrower's noncompliance with Lender's Policies and Procedures, Borrower shall use Borrower's immediate and best efforts to cure such compliance violation(s). Notwithstanding Borrower's efforts to cure noncompliance with Lender's Policies and Procedures, Lender shall retain the right to declare an Event of Default (defined below), as permitted

pursuant to Section 10 hereof, for so long as Borrower remains in noncompliance with Lender's Policies and Procedures.

~~declare an Event of Default (defined below), as permitted pursuant to Section 10 hereof, for so long as Borrower remains in noncompliance with Lender's Policies and Procedures.~~

- E. Payment of Taxes and Assessments. Borrower shall pay all taxes, assessments and other governmental charges imposed upon Borrower before any penalty accrues thereon, and all claims (including claims for labor, services, materials and supplies) for sums that have become due and payable and that by law have or may become a lien upon the Collateral, prior to the time when any penalty or fine shall be incurred with respect thereto.
 - F. Inspection Rights. Borrower shall permit any authorized representatives designated by Lender to visit and inspect any of the properties of the Business, to inspect, copy and take extracts from financial and accounting records of Borrower or the Business, and to discuss the affairs, finances and accounts of Borrower or the Business with Borrower, all upon reasonable notice and as often as may reasonably be requested.
 - G. Confidentiality. Borrower shall hold in confidence at all times after the date hereof all information related to the terms, conditions and other facts of the transactions contemplated hereby, including the existence of this Agreement and the Note, and shall not disclose, publish or make use of any Confidential Information at any time after the date hereof without the prior written consent of Purchaser. Notwithstanding the foregoing, nothing contained in this Agreement shall be deemed to prevent the disclosure by Borrower of information that is required to be disclosed under applicable law or by order of a Governmental Authority acting within its jurisdiction, provided that prior to such disclosure, Borrower shall have provided Lender with notice of such disclosure requirement and Lender shall have had a reasonable opportunity to contest such requirement.
 - H. Certain Notices to Lender. Borrower shall, as promptly as is reasonably practicable, deliver to Lender written notice of the following:
 - (1) the occurrence of an Event of Default (defined below), or any event reasonably likely to result in an Event of Default, specifying the nature and extent of such Event of Default or potential Event of Default;
 - (2) any filing, commencement or threat of a filing or commencement of any action, suit or proceeding against Borrower that is reasonably likely to have a material adverse effect on the Business; and
 - (3) any other development that has caused or is reasonably likely to cause a material adverse effect on the Business.
7. **BORROWER'S NEGATIVE COVENANTS.** Borrower covenants and agrees that, so long as this Agreement remains in effect, unless Lender shall otherwise give express written consent, Borrower shall observe the following restrictions:
- A. Fundamental Changes to Business. Borrower shall not initiate or pursue any material change in the Business or its operations or any other action reasonably likely to result in a material adverse effect on the Business, except for such changes as may be required to comply with any applicable law or Lender's Policies and Procedures.
 - B. Sale of the Business, Assets. Except as expressly permitted pursuant to this Agreement, Borrower shall not: (i) convey, sell, lease or sub-lease, transfer or otherwise dispose of, directly or indirectly, in one transaction or a series of transactions, any property or asset of the Business (including Client accounts or rights therein) whether now owned or hereafter acquired; nor (ii) directly or indirectly solicit or engage in any discussions or negotiations with any other person or entity regarding the foregoing.
 - C. Adverse Liens. Subject to the terms of the Franchise Agreement, or as contemplated by this Agreement or the Note, Borrower shall keep the Collateral free from any adverse lien, security interest or encumbrance. Borrower shall not, without Lender's prior written consent, permit nor take any action reasonably expected to result in any financing statement covering the Collateral or the proceeds thereof to be on file in any public office. Borrower shall not use or permit anyone to use the Collateral in violation of any statute, ordinance, or state or federal regulation or in violation of the Franchise Agreement.
 - D. Use of Proceeds. Borrower shall not use any portion of the Loan for the purpose, directly or indirectly, of buying or carrying any Margin Stock. Borrower shall not use any portion of the Loan in any manner that might cause the borrowing or the application of such proceeds to violate Regulation U, Regulation T or Regulation X of the Board of Governors of the Federal Reserve System or any other regulation of

such Board or to violate the Exchange Act, in each case as in effect on the date or dates of the Loan.

8. **CONDITIONS TO FUNDING OF LOAN.** This Agreement shall become effective, and funding of the Loan shall occur, subject to the satisfaction of the following conditions:
- A. Borrower shall deliver to Lender an executed original copy of this Agreement and the Note;
 - B. Lender shall deliver to Borrower an executed original copy of this Agreement; and
 - C. If funding of the Loan occurs on any date later than the date of this Agreement, Borrower shall deliver to Lender a certificate, in form and substance satisfactory to Lender, acknowledging that the representations and warranties of Borrower set forth in the Agreement are true and correct as of, and that Borrower has performed all obligations and agreements required under the Agreement to be performed by Borrower prior to, the date of funding.
9. **CERTAIN LENDER RIGHTS RELATED TO THE COLLATERAL.** At all times during the term of this Agreement, Lender shall retain the right to and may, at Borrower's expense, discharge taxes, liens or security interests or other encumbrances at any time levied or placed on the Collateral, pay for insurance on the Collateral and pay for the maintenance and preservation of the Collateral. No such payments shall relieve Borrower's obligations to make payments or otherwise observe the terms of this Agreement, nor shall any such payments constitute a waiver of Lender's rights hereunder.
10. **DEFAULT.** Lender reserves the right to declare the Loan immediately due and payable, without notice or demand, in the event one or more of the following events (each, an "event of Default") occurs and continues beyond any applicable time periods referenced below:
- A. Borrower fails to make a regular Installment Payment or any other amount due pursuant to this Agreement within five (5) Business Days of the applicable due date;
 - B. Borrower fails to perform or observe any non-payment covenant or agreement contained in this Agreement that in the reasonable opinion of Lender could materially impact Borrower's ability to satisfy Borrower's duties and obligations under this Agreement;
 - C. Borrower fails to perform or observe any covenant or agreement contained in the Franchise Agreement; provided, however, that in the event such breach does not have a material adverse effect on the Business, Borrower shall not be in default of this Agreement if Borrower cures such breach within thirty (30) days after the delivery of notice of such breach (whether delivered by Borrower or Lender);
 - D. any representation, warranty, certification or statement made by Borrower in this Agreement or in any report, financial statement, certificate or other document delivered pursuant to this Agreement, including without limitation any materials supplied during the application process, was incorrect in any material respect when made or deemed made;
 - E. the death or disability of Borrower, provided that the definition of "disability" under this Agreement shall be the same as "total permanent disability" under the Long Term Disability Plan of Lender (or an affiliate of Lender), which is administered by the insurance carrier selected by Lender (or an affiliate of Lender) (the insurance carrier for the Long Term Disability Plan will make the determination on whether Borrower meets the criteria for total permanent disability);
 - F. an involuntary proceeding shall be commenced or an involuntary petition shall be filed in a court of competent jurisdiction seeking (i) relief in respect of Borrower under any federal, state or foreign bankruptcy, insolvency, receivership or similar law, (ii) the appointment of a receiver, trustee, custodian, sequestrator, conservator or similar official for Borrower or (iii) the winding-up or liquidation of the Business; and such proceeding or petition shall continue undismissed for sixty (60) days or an order or decree approving or ordering any of the foregoing shall be entered;
 - G. Borrower shall (i) voluntarily commence any proceeding or file any petition seeking relief under any federal, state or foreign bankruptcy, insolvency, receivership or similar law, (ii) consent to the institution of, or fail to contest in a timely and appropriate manner, any proceeding or the filing of any petition described in (f) above, (iii) apply for or consent to the appointment of a receiver, trustee, custodian, sequestrator, conservator or similar official for Borrower, (iv) file an answer admitting the material allegations of a petition filed against it in any such proceeding, (v) make a general assignment for the benefit of creditors, (vi) become unable, admit in writing Borrower's inability or fail generally to pay Borrower's debts as they become due or (vii) take any action for the purpose of effecting any of the foregoing;
 - H. the security interest granted by Borrower pursuant to this Agreement shall cease to be, or is asserted

by Borrower not to be, a valid and effective first priority security interest in the Collateral; or

- I. the termination of Borrower as an Independent Advisor of Lender (or its successors), whether initiated by Borrower or any other party, for whatever reason.

THEN, in addition to any other remedies set forth in this Agreement or available to Lender under the Franchise Agreement or through equity or law, in the case of any of the Events of Default specified above, Lender may by notice in writing to Borrower declare all of Borrower's outstanding principal (together with accrued interest thereon, as well as any previously unpaid amounts or fees) under the Loan to be immediately due and payable without presentment, demand, protest or other notice of any kind, all of which are hereby expressly waived by Borrower.

11. RESTRICTIVE COVENANTS.

- A. In consideration for the Loan, Borrower voluntarily agrees to make a payment to Lender equal to ten percent (10%) of the original Loan amount if Borrower joins a competing broker dealer, bank, insurance company, investment adviser or asset manager as an employee, consultant or independent contractor, or in any capacity substantially similar to Borrower's current role as an Independent Advisor, prior to the earlier of: (i) the satisfaction of Borrower's obligations under this Agreement and the Note; and (ii) the one (1) year anniversary of the termination of Borrower's Franchise Agreement.
- B. Borrower further agrees that, prior to the earlier of: (i) the satisfaction of Borrower's obligations under this Agreement and the Note; and (ii) the one (1) year anniversary of the termination of Borrower's Franchise Agreement, if Borrower ceases to be an Independent Advisor of Lender, Borrower shall not, either directly or indirectly, for the term of one (1) year after Borrower's franchise agreement is terminated:
 - (1) encourage, induce, or attempt to encourage or induce any Client that Borrower contacted, serviced or learned about while operating under the Franchise Agreement to terminate an agreement with Lender, Lender's affiliates, Issuers, or any other financial advisor of Lender;
 - (2) encourage, induce, or attempt to encourage or induce any Client that Borrower contacted, serviced or learned about while operating under the Franchise Agreement, to terminate, surrender, redeem, or cancel any action related to Products & Services acquired or ordered from or through Lender, Lender's affiliates, Issuers, or any other financial advisor of Lender, except as provided in the Manuals or with Lender's written approval and consent;
 - (3) solicit any Clients that Borrower contacted, serviced or learned about while operating under the Franchise Agreement for the purpose of the Client opening an account other than an account through Lender, purchasing investment, financial, or insurance products or services, purchasing any product or service, the type of which is offered by Lender, or purchasing any investment, financial or insurance products or services other than through Lender with Lender's written approval and consent; and/or
 - (4) encourage, induce, or attempt to encourage or induce or otherwise solicit any person who is at that time employed by Lender or associated or affiliated with Lender as an Independent Advisor, independent contractor or agent to terminate their employment, association or other affiliation with Lender.
- C. Borrower shall not disparage, during the term of the Franchise Agreement or thereafter, Lender, its affiliates, employees, advisors, or the products and services offered by Lender and its affiliates.
- D. The restrictive covenants set forth in this Section 11 shall prevail over any set forth in the Franchise Agreement; provided, however, that upon the termination of this Agreement following the satisfaction of Borrower's obligations hereunder, the restrictive covenants set forth in the Franchise Agreement shall remain in full force and effect in accordance with their terms.

12. **INDEMNIFICATION.** Borrower shall indemnify, defend and hold harmless Lender and its affiliates and its and their respective officers, directors, employees, agents and representatives, from and against any and all claims, liabilities, obligations, losses, costs, expenses, penalties, fines, judgments and damages (collectively, "Losses") whenever arising or incurred, including, without limitation, amounts paid in settlement and reasonable outside accountant's, tax consultant's and attorneys' fees and expenses, in any way relating to or arising out of this Agreement, the Note or the transactions contemplated herein and therein; provided, however, that Lender shall not have the right to be indemnified hereunder for its own gross negligence or willful misconduct as finally determined by a court of competent jurisdiction or

the appropriate Governmental Authority. Without limiting the extent of the foregoing, Losses shall be deemed to include any transfer taxes, documentary taxes, assessments or charges made by any Governmental Authority incurred by reason of the execution and delivery of this Agreement or the Note.

13. **COLLECTION COSTS.** Borrower hereby waives demand, presentment, notice of nonpayment and protest, and agrees to pay all costs of collection, whether or not suit or action is filed hereon, in the event any payment is not made in accordance with the provisions of this Agreement or the Note. The costs of collection shall include but are not limited to reasonable attorney's fees for collection efforts before commencing any legal proceeding, in arbitration, at trial, and on appeal. If a suit or action is filed, or if arbitration is commenced, the amount of such reasonable attorney's fees shall be fixed by the arbitrator or court(s) in which the matter is tried, heard or decided, including any petition or appeal thereon.

14. **MISCELLANEOUS.**

- A. **Successors and Assigns; Assignment.** This Agreement shall be binding upon the parties hereto and their respective successors and assigns and shall inure to the benefit of the parties hereto. Neither Borrower's rights nor obligations hereunder nor any interest therein may be assigned or delegated by Borrower without the prior written consent of Lender (and any attempted assignment or transfer by Borrower without such consent shall be null and void). Lender and any successor of Lender may freely assign this Agreement and the Note, including any rights or obligations hereunder or thereunder, to any affiliate without prior notice to Borrower. Borrower acknowledges that the obligations of Lender related to the servicing of the Loan, including the collection of payments, shall be assigned to an affiliate of Lender.
- B. **Amendment.** No provision of this Agreement or any Schedule may be amended, altered or modified unless agreed to in writing by the parties hereto.
- C. **Waivers.** Any agreement on the part of a party to any extension or waiver of any provision of this Agreement shall be valid only if set forth in an instrument in writing signed on behalf of such party. No failure or delay by a party in exercising any right, power or privilege hereunder or under the Note shall operate as a waiver thereof nor shall any single or partial exercise thereof preclude any other or further exercise thereof or the exercise of any other right, power or privilege.
- D. **Notices.** All notices under this Agreement shall be made in writing and delivered by confirmed courier delivery, certified mail, facsimile transmission or email as follows:

To Lender:

Ameriprise Financial Services, LLC
Attn: Recruiting & Practice Acquisition Operations
9401 Ameriprise Financial Center
Minneapolis, MN 55474
Fax: 866.241.7583
Email: EAR.recruiting.operations@ampf.com

To Borrower:

[Name]
[Address]
[Fax]
[Email]

or to such other representative or at such other address as such party may furnish to the other party in writing.

~~writing.~~

- E. **Expenses.** Borrower and Lender shall each pay for their own out-of-pocket expenses related to this Agreement, including but not limited to legal costs.
~~Agreement, including but not limited to legal costs.~~
- F. **Counterparts.** This Agreement and the Note may be executed in one or more counterparts, including by facsimile or by electronic delivery in .pdf format, each of which shall be considered an original instrument, but all of which shall be considered one and the same agreement, and shall become binding when one or more counterparts have been signed by each of the parties.
- G. **Severability.** If any provision of this Agreement or the Note is held invalid, illegal, void or unenforceable

by reason of any rule of law, administrative order, judicial decision or public policy, all other provisions of this Agreement or the Note shall nonetheless remain in full force and effect.

- H. Conflicts. If any term in this Agreement should conflict with any term in the Franchise Agreement, the terms of this Agreement shall prevail.
- I. Choice of Law; Arbitration. This Agreement and the Note shall be construed in accordance with and governed by the laws of the State of Minnesota without regard to the choice of law provisions thereof. Borrower and Lender agree that any disputes related to this Agreement or the Note shall be resolved by arbitration before FINRA regardless of the identity of any assignee of Lender.
- J. Injunctive Relief. Borrower agrees that to the fullest extent permitted by applicable law, Lender shall be entitled to injunctive relief from a court or FINRA arbitration should Borrower violate any of the covenants of this Agreement. Borrower recognizes that Lender's remedies solely at law would be inadequate, that Lender would be irreparably harmed by violations of the provisions of the Agreement, and thus that Lender shall be entitled to injunctive relief to prevent future violations until a full and final resolution of any dispute may be had on the merits. Lender has the right to seek such injunctive relief in a court of competent jurisdiction, which relief shall extend until, and if, a decision on the merits of the same issue is rendered by a FINRA arbitration panel. Such election by Lender to seek judicial relief shall not waive any rights Lender may have to arbitrate disputes arising under this Agreement, including rights to obtain damages from Borrower in arbitration for violations of this Agreement
15. TERMINATION OF AGREEMENT. This Agreement shall terminate immediately, except for those terms which by their nature are intended to survive, upon the full payment of the Loan together with any interest and other costs and fees provided for in this Agreement and the Note.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement on the date first above written.

Borrower/Independent Advisor, Individually

Ameriprise Financial Services, LLC

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

BORROWER'S CERTIFICATE

This Borrower's Certificate ~~(the~~ ("Certificate") is delivered in connection with that certain Loan and Security Agreement, dated as of ~~date~~ (the _____ ("Agreement")), by and between Ameriprise Financial Services, LLC, a Delaware limited liability company ("Lender"), and ~~advisor name~~ Independent Advisor, an individual ("Borrower"). Capitalized terms used in this Certificate that are not defined herein shall have the same meanings ascribed to them in the Agreement.

As required pursuant to section 8(c) of the Agreement, the undersigned hereby certifies that:

1. The representations and warranties of Borrower set forth in the Agreement are true and correct in all respects as of the date hereof.
2. Borrower has performed all obligations and agreements required under the Agreement to be performed by Borrower prior to the date hereof.

IN WITNESS WHEREOF, the undersigned has executed and hereby delivers this Certificate as of the funding date.

Borrower/Independent Advisor, Individually

By: _____

Name: _____

Title: _____

Date: _____

Social Security No.: _____

Advisor No.: _____

EXHIBIT N

FINANCIAL STATEMENTS

Ameriprise Financial Services, LLC (f/k/a Ameriprise Financial Services, Inc.)
Years Ended December 31, 2021, 2020, and Ameriprise Financial Services, Inc.
Year Ended December 31, 2019, and 2018 With Report of Independent Auditors

**Financial Statements and
Supplemental information**

Ameriprise Financial Services, Inc.

As of and for the Years Ended December 31, 2020, 2019 and 2018

With Report of Independent Registered Public Accounting Firm

Ameriprise Financial Services, LLC
Financial Statements and Supplemental Information
Confidential Treatment Requested
Years ended December 31, 2020, 2019, and 2018

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March 26, 2021

Ameriprise Financial Services, LLC

We agree to the inclusion in the 2020 Franchise Disclosure Document dated March 26, 2021 issued by Ameriprise Financial Services, LLC ("the Franchisor") of our report dated February 24, 2021 relating to the financial statements of the Franchisor as of December 31, 2020, 2019, and 2018 and for each of the three years in the period then ended.

PricewaterhouseCoopers LLP

PricewaterhouseCoopers LLP, 45 South Seventh Street, Suite 3400, Minneapolis, MN 55402
T: (612) 596 6000, F: (612) 373 7160, www.pwc.com/us



Report of Independent Registered Public Accounting Firm

To the Board of Directors and Shareholder of Ameriprise Financial Services, LLC

Opinion on the Financial Statements

We have audited the accompanying Statements of Financial Condition of Ameriprise Financial Services, LLC. (the "Company") as of December 31, 2020, December 31, 2019 and December 31, 2018, and the related Statements of Operations, of Changes in Member's/Stockholder's Equity, of Changes in Liabilities Subordinated to the Claims of General Creditors, and of Cash Flows for the three years in the period ended December 31, 2020, including the related notes (collectively referred to as the "financial statements"). In our opinion, the financial statements present fairly, in all material respects, the financial position of the Company as of December 31, 2020, 2019 and 2018 and the results of its operations and its cash flows for each of the three years in the period ended December 31, 2020 in conformity with accounting principles generally accepted in the United States of America.

Basis for Opinion

These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on the Company's financial statements based on our audits. We are a public accounting firm registered with the Public Company Accounting Oversight Board (United States) (PCAOB) and are required to be independent with respect to the Company in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

We conducted our audits of these financial statements in accordance with the standards of the PCAOB. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether due to error or fraud.

Our audits included performing procedures to assess the risks of material misstatement of the financial statements, whether due to error or fraud, and performing procedures that respond to those risks. Such procedures included examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements. Our audits also included evaluating the accounting principles used and significant estimates made by management, as well as, evaluating the overall presentation of the financial statements. We believe that our audits provide a reasonable basis for our opinion.

Supplemental Information

The Computation of Net Capital pursuant to SEA Rule 15c3-1 and Information for Determination of Reserve Requirements pursuant to SEA Rule 15c3-3 have been subjected to audit procedures performed in conjunction with the audits of the Company's financial statements. The supplemental information is the responsibility of the Company's management. Our audit procedures included determining whether the supplemental information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In forming our opinion on the supplemental information, we evaluated whether the supplemental information, including its form and content, is presented in conformity with Rule 17a-5 under the Securities Exchange Act of 1934. In our opinion, the Computation of Net Capital pursuant to SEA Rule 15c3-1 and Information for Determination of Reserve

PricewaterhouseCoopers LLP, 45 South Seventh Street, Suite 3400, Minneapolis, MN 55402
T: (612) 596 6000, F: (612) 373 7160, www.pwc.com/us



Requirements pursuant to SEA Rule 15c3-3 are fairly stated, in all material respects, in relation to the financial statements as a whole.

PricewaterhouseCoopers LLP

February 24, 2021

We have served as the Company's auditor since 2010.

Ameriprise Financial Services, LLC

Statements of Financial Condition

Confidential Treatment Requested

December 31,

(In thousands, except share amounts)

	2020	2019	2018
Assets			
Cash and cash equivalents	\$ 617,824	\$ 589,986	\$ 429,345
Cash segregated under federal and other regulations	8,397	8,398	19,865
Receivables:			
Fees due from affiliates	118,061	109,662	128,492
Financial advisors and employees (net of allowance for doubtful accounts of \$3,760 in 2020, \$3,809 in 2019 and \$3,288 in 2018)	9,485	6,731	5,417
Distribution fees and other (net of allowance for doubtful accounts of \$3,176 in 2020, \$3,332 in 2019 and \$2,602 in 2018)	77,839	76,478	318,727
Secured demand note receivable from Parent	200,000	200,000	200,000
Goodwill	173,918	173,918	173,918
Intangibles (net of accumulated amortization of \$101,749 in 2020 \$84,639 in 2019 and \$65,122 in 2018)	60,265	52,086	43,491
Prepaid commissions	117,316	116,015	111,829
Deferred income taxes, net (see Notes 2 and 11)	0	132,134	114,563
Other assets	51,276	43,163	36,485
Total assets	\$ 1,434,381	\$ 1,508,571	\$ 1,582,132
Liabilities and Member's/Stockholder's Equity			
Liabilities:			
Accounts payable, accrued expenses and unearned revenue:			
Due to affiliates	\$ 107,717	\$ 154,172	\$ 163,447
Field force compensation	283,437	268,109	396,216
Salaries and employee benefits	158,482	133,800	107,154
Unearned revenue	146,283	143,479	137,808
Other liabilities	112,372	110,742	96,541
Total accounts payable, accrued expenses and unearned revenue	808,291	810,302	901,166
Liabilities subordinated to the claims of general creditors	200,000	200,000	200,000
Commitments and contingencies (see Note 10)			
Member's/stockholder's equity:			
Common stock, \$10 par value per share:			
Authorized, issued and outstanding shares - 10,000	-	100	100
Additional paid-in capital	-	407,049	416,050
Retained earnings	-	91,120	64,816
Member's equity	426,090	-	-
Total member's/stockholder's equity	426,090	498,269	480,966
Total liabilities and member's equity	\$ 1,434,381	\$ 1,508,571	\$ 1,582,132

The accompanying notes are an integral part of these financial statements.

Ameriprise Financial Services, LLC

Statements of Operations Confidential Treatment Requested

Years ended December 31,
(In thousands)

	2020	2019	2018
Revenues:			
Advice services and retail brokerage fees	\$ 4,101,943	\$ 3,694,170	\$ 3,391,809
Distribution fees from affiliates	1,041,011	1,062,016	1,062,759
Distribution fees from unaffiliated companies	502,840	515,647	519,894
Other income	162,284	160,071	147,333
Investment income (loss), net	(14,104)	4,857	10,747
Total revenues	5,793,974	5,436,761	5,132,542
Expenses:			
Commissions	3,775,295	3,547,010	3,376,435
Service fees charged by Parent and affiliates	448,432	439,674	392,009
Compensation and benefits	426,832	412,624	382,571
Sales training, promotion, travel, and other	287,315	304,085	276,896
Clearing charges to affiliate	62,158	52,234	43,594
Occupancy	51,022	46,371	44,741
Amortization and accretion	16,161	20,611	12,008
Interest expense	222	217	204
Total expenses	5,067,437	4,822,826	4,528,458
Income before income taxes	726,537	613,935	604,084
Income tax provision (see Notes 2 and 11)	0	148,178	145,183
Net income	\$ 726,537	\$ 465,757	\$ 458,901

The accompanying notes are an integral part of these financial statements.

Ameriprise Financial Services, LLC
Statements of Changes in Member's / Stockholder's Equity
Confidential Treatment Requested
(In thousands, except share amounts)

	<u>Shares Outstanding</u>	<u>Common Stock</u>	<u>Additional Paid-In Capital</u>	<u>Retained Earnings (Accumulated Deficit)</u>	<u>Member's Equity</u>	<u>Total Member's/ Stockholder's Equity</u>
Balance at January 1, 2018	<u>10,000</u>	<u>\$ 100</u>	<u>\$ 438,271</u>	<u>\$ (20,039)</u>	<u>—</u>	<u>\$ 418,332</u>
Net income		—	—	458,901	—	458,901
Contributions		—	17,620	—	—	17,620
Dividends paid		—	(39,841)	(374,046)	—	(413,887)
Balance at December 31, 2018	<u>10,000</u>	<u>\$ 100</u>	<u>\$ 416,050</u>	<u>\$ 64,816</u>	<u>—</u>	<u>\$ 480,966</u>
Net income		—	—	465,757	—	465,757
Contributions		—	9,719	—	—	9,719
Dividends paid		—	(18,720)	(439,453)	—	(458,173)
Balance at December 31, 2019	<u>10,000</u>	<u>\$ 100</u>	<u>\$ 407,049</u>	<u>\$ 91,120</u>	<u>—</u>	<u>\$ 498,269</u>
Conversion to LLC	(10,000)	(100)	(407,049)	(91,120)	498,269	—
Cumulative effect of adoption of simplification for income tax guidance		—	—	—	(122,942)	(122,942)
Net Income		—	—	—	726,537	726,537
Dividends Paid		—	—	—	(675,774)	(675,774)
Balance at December 31, 2020	<u>—</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 426,090</u>	<u>\$ 426,090</u>

The accompanying notes are an integral part of these financial statements.

Ameriprise Financial Services, LLC
Statements of Changes in Liabilities
Subordinated to the Claims of General Creditors
Confidential Treatment Requested
(In thousands)

Liabilities subordinated to the claims of general creditors at January 1, 2018	\$ 200,000
Payments/Drawdowns	<u>—</u>
Liabilities subordinated to the claims of general creditors at December 31, 2018	<u>\$ 200,000</u>
Payments/Drawdowns	<u>—</u>
Liabilities subordinated to the claims of general creditors at December 31, 2019	<u>\$ 200,000</u>
Payments/Drawdowns	<u>—</u>
Liabilities subordinated to the claims of general creditors at December 31, 2020	<u><u>\$ 200,000</u></u>

The accompanying notes are an integral part of these financial statements.

Ameriprise Financial Services, LLC

Statements of Cash Flows Confidential Treatment Requested

Years ended December 31,
(In thousands)

	<u>2020</u>	<u>2019</u>	<u>2018</u>
Cash flows from operating activities			
Net income	\$ 726,537	\$ 465,757	\$ 458,901
Adjustments to reconcile net income to net cash provided by operating activities:			
Amortization and accretion	16,161	20,611	12,008
Deferred income tax (benefit)	-	(17,571)	(15,071)
Changes in operating assets and liabilities:			
Receivables, net			
Fees due from affiliates	(8,399)	18,830	(44)
Distribution fees and other	(1,361)	242,249	(3,991)
Financial advisors and employees	(2,754)	(1,314)	5,216
Prepaid commissions	(1,301)	(4,186)	(2,886)
Other assets	(8,113)	(6,678)	3,785
Accounts payable and accrued expenses			
Due to affiliates	(46,455)	(9,275)	17,205
Field force compensation	15,328	(128,107)	30,800
Unearned revenue	2,804	5,671	3,395
Other	25,125	39,587	(10,613)
Net cash provided by operating activities	<u>717,572</u>	<u>625,574</u>	<u>498,705</u>
Cash flows from investing activities:			
Purchases of intangible assets	<u>(13,961)</u>	<u>(27,946)</u>	<u>(8,630)</u>
Net cash used in investing activities	<u>(13,961)</u>	<u>(27,946)</u>	<u>(8,630)</u>
Cash flows from financing activities:			
Dividends paid	(675,774)	(458,173)	(413,887)
Capital contribution	-	9,719	17,620
Net cash used in financing activities	<u>(675,774)</u>	<u>(448,454)</u>	<u>(396,267)</u>
Net increase in cash, cash equivalents and segregated cash	27,837	149,174	93,808
Cash, cash equivalents and segregated cash at beginning of year	<u>598,384</u>	<u>449,210</u>	<u>355,402</u>
Cash, cash equivalents and segregated cash at end of year	<u>\$ 626,221</u>	<u>\$ 598,384</u>	<u>\$ 449,210</u>
Supplemental disclosure:			
Cumulative effect of adoption of simplification for income tax guidance	\$ 122,942	\$ -	\$ -
Income taxes paid to Parent, net	12,976	147,485	160,591
Interest paid to Parent	200	200	200
Income taxes paid to state tax jurisdictions	-	9,288	8,363

The accompanying notes are an integral part of these financial statements.

Ameriprise Financial Services, LLC
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December 31, 2020, 2019 and 2018

1. Organization, Basis of Presentation, and Summary of Significant Accounting Policies

Organization

Ameriprise Financial Services, LLC (the Company) is a wholly owned subsidiary of AMPF Holding Corp LLC. AMPF Holding LLC is a wholly owned subsidiary of Ameriprise Financial, Inc. (the Parent). The Company was previously known as Ameriprise Financial Services, Inc. but was converted to a limited liability company effective January 2020. The Company is registered with the Securities and Exchange Commission (SEC) and the various states in which the Company conducts business as an introducing broker-dealer and is a member of the Financial Industry Regulatory Authority, Inc. (FINRA) and the Securities Investor Protection Corporation (SIPC). In addition, the Company is a registered investment adviser with the U.S. Securities and Exchange Commission pursuant to the Investment Advisers Act of 1940. The Company is registered as a Commodity Trading Advisor (CTA) with the U.S. Commodity Futures Trading Commission (CFTC) and is a member of, and the corresponding services function is regulated by, the National Futures Association (NFA). The Company is required to comply with all applicable rules and regulations of the SEC, FINRA, CFTC, NFA and SIPC.

The Company clears the majority of transactions with an affiliate, American Enterprise Investment Services, Inc. (AEIS), which under a clearing agreement charges the Company clearing fees on a per trade basis or based on assets under management. AEIS is primarily dependent on the Company for the introduction of clients and gathering of client assets which generates AEIS's revenues. As a result, the Company charges a distribution access fee based on a fixed contractual amount for ongoing access to the Company's financial advisors, client servicing and product distribution efforts.

The Company offers financial planning and investment advisory services to retail clients for which it charges a fee through an advisor-based distribution channel. These services are designed to provide comprehensive advice, when appropriate, to address clients' cash and liquidity, asset accumulation, income, protection, and estate and wealth transfer needs. To complete their advice services, the Company's financial advisors provide clients with recommendations from more than one hundred products distributed by subsidiaries and affiliates of the Parent, as well as products of approved third parties.

The financial advisors are either non-employee independent contractors operating through a nationwide franchise system or they may choose to be employees of the Company. Due to differing levels of support provided to advisors operating in these various platforms, advisors are compensated at different percentages of the gross dealer concessions allowed for the various product offerings.

To complement its advisor-based channel, the Company also offers an integrated direct retail distribution channel. Direct distribution services are provided through the Company's online brokerage offering, which allows clients to purchase and sell securities online, obtain research and information about a wide variety of securities, use asset allocation and financial planning tools, contact advisors, as well as access a wide range of proprietary and non-proprietary mutual funds.

Basis of Presentation

The preparation of the financial statements in conformity with accounting principles generally accepted in the United States (U.S. GAAP) requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities, and the reported amounts of revenues and expenses. These accounting estimates reflect the best judgment of management and actual amounts could differ significantly from those estimates.

Significant Accounting Policies

Revenue Recognition: Refer to Note 3 for discussion of accounting policies on revenue from contracts with customers.

Investment income, net, primarily includes interest income on cash and cash equivalents, the changes in fair value of trading securities, and realized gains and losses on the sale of securities. Interest income is accrued as earned using the

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effective interest method, which makes an adjustment to the yield for security premiums and discounts on all performing fixed maturity securities.

Commissions: Commission amounts paid to financial advisors are based on fees earned on client accounts and also includes production bonuses and advisor deferred compensation plan expenses, which are recognized as incurred. The liabilities associated with commission and production bonus expenses are included in the field force compensation line in the statements of financial condition.

Service fees charged by Parent and affiliates: Service fees charged by Parent and affiliates are recognized when incurred and are described in the related party transactions Note 12.

Compensation and benefits: Compensation and benefits represent compensation-related expenses paid to employees. The Company has deferred compensation plans which allow certain employees and financial advisors to defer a portion of their compensation and commissions. Participants can elect various distribution options. The liabilities associated with these plans are included in the field force compensation line and the salaries and employee benefits line in the statements of financial condition. The Company holds cash value life insurance associated with one of these plans, which is reflected in the other assets line in the statements of financial condition. Changes in the value of the assets or liabilities are recognized in the compensation and benefits line in the statements of operations.

Share-based compensation: The Company also participates in the Parent's Incentive Compensation Plan (incentive plan) and the Parent's Deferred Equity Program for Independent Financial Advisors (deferred equity program). Employees, directors, and independent contractors are eligible to receive incentive awards including stock options, restricted stock awards, restricted stock units, performance shares and similar awards designed to comply with the applicable federal regulations and laws of various jurisdictions. These expenses are included in the compensation and benefits line in the statements of operations.

Sales training, promotion, travel, and other: Fees paid to outside vendors, such as for data processing, account management, licensing, travel and printing, are generally expensed when incurred. Advertising costs are also included in this line. The Company's policy is to expense advertising production costs at the time the first advertising takes place. The deferral of advertising costs until the first time the advertising takes place is allowed as long as there is the assumption that the advertising will take place. If the advertising is no longer expected to occur, the advertising costs should be expensed immediately. Advertising costs amounted to \$22,369, \$23,905 and \$23,419 for 2020, 2019 and 2018 respectively, and are reflected in the sales training, promotion, travel and other line of the statements of operations. There was \$0, \$130 and \$0 of expense deferred as of December 31, 2020, 2019 and 2018, respectively.

Clearing charges to affiliate: Clearing costs represent fees paid to AEIS for clearing transactions either on a per trade basis or on assets under management. These charges are based on underlying contracts and are recorded as incurred.

Occupancy: Occupancy primarily consists of rental expense for office leases and other facility expenses. Rental expense is recognized on a straight-line basis over the term of the contract. See Notes 2 and 9.

Income taxes: In January 2020 the Company converted to a limited liability company and became a disregarded entity for the 2020 tax year. The Company is included in the consolidated tax returns filed by the Parent. However, as a limited liability company that is not subject to tax and considered a disregarded entity for tax purposes, the Company and the Parent have elected to not allocate the consolidated amount of current and deferred tax expenses to the Company (see Note 2).

Prior to 2020, the Company's provision for income taxes represented the net amount of income taxes that the Company expected to pay or to receive from various taxing jurisdictions in which it had operations. The Company provided for income taxes based on amounts that the Company believed it would ultimately owe taking into account the recognition and measurement for uncertain tax positions. Inherent in the provision for income taxes were estimates and judgments regarding the tax treatment of certain items. The Company's taxable income was included in the consolidated federal and state income tax returns of the Parent. The Company provided for income taxes on a separate return basis, except that, under an agreement between the Parent and the Company, tax benefits were recognized for losses to the extent they could be used in the consolidated return. It was the policy of the Parent to reimburse its subsidiaries for any tax benefits recorded.

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In connection with the provision for income taxes, the financial statements reflected certain amounts related to deferred tax assets and liabilities, which resulted from temporary differences between the assets and liabilities measured for financial statement purposes versus the assets and liabilities measured for tax return purposes.

Cash and cash equivalents: The Company has defined cash and cash equivalents to include money market funds, commercial paper, time deposits and other highly liquid investments with original or remaining maturities at the time of purchase of 90 days or less. The Company has evaluated the cash equivalents for credit risk and has determined it is negligible due to the short term nature of the investment.

Cash segregated under federal and other regulations: Pursuant to Rule 15c3-3 Section (k)(2)(i), all cash received from customers is held in segregated accounts established solely for the benefit of customers until it is forwarded to affiliates.

Allowance for doubtful accounts: Financial advisors are required to pay for certain support services provided by the Company. The Company reserves for any outstanding receivables from the financial advisors that it does not believe are recoverable. The Company reserves for fees receivable related to marketing support arrangements for sales of mutual funds of other companies based upon management's judgment as to ultimate collectability. The Company also reserves for its unsecured client activity funded by its affiliate, AEIS. The Company has agreed to indemnify AEIS for any losses that it may sustain from the customer accounts introduced by the Company. The Company reserves for these potential losses.

Allowance for credit losses: When determining the allowance for credit losses for advisor loans, the Company considers its actual historical collection experience and advisor termination experience as well as other factors including amounts due at termination, the reasons for the terminated relationship, length of time since termination, and the former financial advisor's overall financial position. Management uses its best estimate of future termination and collection rates to estimate expected credit losses over the expected life of the loans. The allowance for credit losses on advisor loans is recorded in distribution expenses.

Goodwill and intangible assets: Goodwill represents the amount of an acquired company's acquisition cost in excess of the fair value of assets acquired and liabilities assumed. The Company evaluates goodwill for impairment annually on the measurement date of July 1 and whenever events and circumstances indicate that an impairment may have occurred, such as a significant adverse change in the business climate or a decision to sell. In determining whether impairment has occurred, the Company uses the discounted cash flow method. Intangible assets generally represent customer and independent contractor relationships and non-compete agreements. Intangible assets are amortized over their estimated useful lives, unless they are deemed to have indefinite useful lives. The Company evaluates the finite lived intangible assets' remaining useful lives annually on the measurement date of July 1 and tests for impairment whenever events and circumstances indicate that an impairment may have occurred, such as a significant adverse change in the business climate. For finite lived intangible assets subject to amortization, impairment to fair value is recognized if the carrying amount is not recoverable.

Prepaid commissions: Commissions paid by the Company to advisors in connection with the sales of financial plans are deferred until the plan is delivered and the corresponding revenue is recognized.

2. Recent Accounting Pronouncements

Adoption of New Accounting Standards

Income Taxes-Simplifying the accounting for income taxes.

In December 2019, the Financial Accounting Standards Board (FASB) updated the accounting standards to simplify the accounting for income taxes. The update amends existing guidance related to the allocation of income tax expense when members of a consolidated tax filing group issue separate financial statements. The updated guidance is applied on a retrospective basis for all periods presented. The standard is effective for interim and annual periods beginning after December 15, 2020, with early adoption permitted.

The Company early adopted the updated guidance effective January 1, 2020. The Company was impacted by the conversion to a limited liability company in 2020, the adoption of the updated guidance and its election to not be allocated income tax expense as the Company is a member of a consolidated tax filing group. Under the updated guidance, income

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tax expense, income tax receivables and payables, and deferred tax assets and liabilities are no longer recognized in the financial statements of the Company. As a result, the Company recorded a \$132 million reduction in deferred income tax assets, a \$9 million reduction in uncertain tax positions which were recorded in other liabilities and a \$123 million reduction in retained earnings as of January 1, 2020.

The standard also updated the guidance for intraperiod tax allocation, deferred tax liabilities related to outside basis differences, step-up in the tax basis of goodwill, interim recognition of enactment of tax laws or rate changes and franchise taxes and other taxes. None of these updates had an impact on the Company's results of operations or financial condition.

Financial Instruments – Credit Losses – Measurement of Credit Losses on Financial Instruments

In June 2016, the FASB updated the accounting standards related to accounting for credit losses on certain types of financial instruments. The update replaces the current incurred loss model for estimating credit losses with a new model that requires an entity to estimate the credit losses expected over the life of the asset. Generally, the initial estimate of the expected credit losses and subsequent changes in the estimate will be reported in current period earnings and recorded through an allowance for credit losses on the balance sheet. The standard is effective for interim and annual periods beginning after December 15, 2019. A modified retrospective cumulative adjustment to retained earnings should be recorded as of the first reporting period in which the guidance is effective for loans, receivables, and other financial instruments subject to the new expected credit loss model. The Company adopted the standard on January 1, 2020. The adoption of this update did not have a material impact on the Company's results of operations or financial condition.

Fair Value Measurement – Disclosure Framework – Changes to the Disclosure Requirements for Fair Value Measurement

In August 2018, the FASB updated the accounting standards related to disclosures for fair value measurements. The update eliminates the following disclosures: 1) the amount of and reasons for transfers between Level 1 and Level 2 of the fair value hierarchy, 2) the policy of timing of transfers between levels of the fair value hierarchy, and 3) the valuation processes for Level 3 fair value measurements. The new disclosures include changes in unrealized gains and losses for the period included in OCI for recurring Level 3 fair value measurements of instruments held at the end of the reporting period and the range and weighted average used to develop significant unobservable inputs and how the weighted average was calculated. The new disclosures are required on a prospective basis; all other provisions should be applied retrospectively. The update is effective for interim and annual periods beginning after December 15, 2019. Early adoption is permitted for the entire standard or only the provisions that eliminate or modify disclosure requirements. The Company early adopted the provisions of the standard that eliminate or modify disclosure requirements in 2018. The update does not have an impact on the Company's results of operations or financial condition.

Intangibles – Goodwill and Other – Simplifying the Test for Goodwill Impairment

In January 2017, the FASB updated the accounting standards to simplify the accounting for goodwill impairment. The update removes the hypothetical purchase price allocation (Step 2) of the goodwill impairment test. Goodwill impairment will now be the amount by which a reporting unit's carrying value exceeds its fair value. The standard is effective for interim and annual periods beginning after December 15, 2019, and should be applied prospectively with early adoption permitted for any impairment tests performed after January 1, 2017. The Company adopted the standard on January 1, 2020. The adoption of this update did not have a material impact on the Company's results of operations or financial condition.

Leases – Recognition of Lease Assets and Liabilities on Balance Sheet

In February 2016, the FASB updated the accounting standards for leases. The update was issued to increase transparency and comparability for the accounting of lease transactions. The standard requires most lease transactions for lessees to be recorded on the balance sheet as lease assets and lease liabilities and both quantitative and qualitative disclosures about leasing arrangements. The standard was effective for interim and annual periods beginning after December 15, 2018. Entities had the option to adopt the standard using a modified retrospective approach at either the beginning of the earliest period presented or as of the date of adoption. As permitted under the new standard, the Company also utilized a practical expedient to not record lease assets and lease liabilities on the balance sheet for all short-term leases that have a term of twelve months or less. The

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adoption of the standard did not have a material impact on the Company's results of operations and financial condition. See Note 9 for further disclosure.

3. Revenue from Contracts with Customers

The following table presents revenue from contracts with customers and a reconciliation to revenues reported on the statement of operations:

	2020	2019	2018
Advice services and retail brokerage fees			
Advisory fees	\$ 3,510,614	\$ 3,156,361	\$ 2,865,456
Financial planning fees	348,409	329,498	317,876
Retail brokerage fees	242,920	208,311	208,477
	<u>4,101,943</u>	<u>3,694,170</u>	<u>3,391,809</u>
Distribution fees from affiliates			
Mutual funds, annuities and insurance, and certificates	574,522	603,813	620,866
Distribution access fees	354,000	336,000	336,000
Distribution support services	108,976	118,231	104,044
Other	3,513	3,972	1,849
	<u>1,041,011</u>	<u>1,062,016</u>	<u>1,062,759</u>
Distribution fees from unaffiliated companies			
Mutual funds and annuities and insurance	499,056	511,624	515,444
Marketing support fees	3,784	4,023	4,450
	<u>502,840</u>	<u>515,647</u>	<u>519,894</u>
Other income			
Fees from advisors	156,709	148,497	141,664
Other	5,575	11,574	5,669
	<u>162,284</u>	<u>160,071</u>	<u>147,333</u>
Total revenue from contracts with customers	5,808,078	5,431,904	5,121,795
Investment income (loss), net	(14,104)	4,857	10,747
Total revenue	<u>\$ 5,793,974</u>	<u>\$ 5,436,761</u>	<u>\$ 5,132,542</u>

The following discussion describes the nature, timing, and uncertainty of revenues and cash flows arising from the Company's contracts with customers.

Advice services and brokerage fees

Advisory Fees

The Company earns revenue for performing investment advisory services for certain brokerage customer's discretionary and non-discretionary managed accounts. The revenue is earned based on a contractual fixed rate applied, as a percentage, to the market value of assets held in the account. The investment advisory performance obligation is considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. Advisory fees are recognized daily and are either charged in advance or arrears on a monthly or quarterly basis. Beginning in the third quarter of 2019 advisory fees were transitioned to being charged in advance on a monthly basis.

Financial planning fees

The Company earns revenue for providing a financial plan to its clients. The revenue earned for each financial plan is either a fixed fee (received monthly, quarterly or as a single payment) or a variable fee (received monthly or quarterly) based on a contractual fixed rate applied, as a percentage, to assets held in a client's investment advisory services account. The financial planning fee is based on the complexity of a client's financial and life situation and his or her advisor's

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experience. The performance obligation is satisfied at the time the financial plan is delivered to the customer. The Company records a contract liability for the unearned revenue when cash is received before the plan is delivered. The financial plan contracts with clients are annual contracts. Amounts recorded as a contract liability are recognized as revenue when the financial plan is delivered which will occur within the annual period.

For fixed fee arrangements, revenue is recognized when the financial plan is delivered. The Company accrues revenue for any amounts that have not been received at the time the financial plan is delivered.

For variable fee arrangements, revenue is recognized for cash that has been received when the financial plan is delivered. The amount received after the plan is delivered is variably constrained due to factors outside the Company's control including market volatility and client behavior. Revenue is recognized when it is probable that a significant reversal will not occur, which is generally each month or quarter end as uncertainty within the advisory account balance is resolved.

Contract liabilities for financial planning fees, which are included in unearned revenue in the statement of financial condition, were \$146,064, \$143,186 and \$137,523 as of December 31, 2020, 2019 and 2018, respectively.

The Company pays sales commissions to advisors when a new financial planning contract is obtained or when an existing contract is renewed. The sales commissions paid to the advisors prior to financial plan delivery are considered a cost to obtain a contract with a customer and are initially capitalized. When the performance obligation to deliver the financial plan is satisfied, the commission is recognized as distribution expense. Capitalized costs to obtain these contracts are reported in prepaid commissions in the statement of financial condition and were \$117,316, \$116,015 and \$111,829 as of December 31, 2020, 2019 and 2018, respectively.

Retail brokerage fees

The Company earns revenue from brokerage clients for the execution of requested trades. The performance obligation is satisfied at the time of trade execution and amounts are received on the settlement date. The revenue varies for each trade based on various factors that include the type of investment, dollar amount of the trade and how the trade is executed (online or broker assisted). These fees are recorded daily and collected on a weekly basis.

Distribution fees from affiliates and unaffiliated companies

Mutual funds, annuities and insurance, and certificates

The Company earns distribution fees from an affiliate, Columbia Management Investment Distributors, Inc. (CMID) and from unaffiliated partners for the sale of mutual funds. Revenue includes asset based fees that are generally based on a contractual rate as a percentage of assets (12b-1 fees) and front-load mutual fund fees on sales of affiliated and unaffiliated mutual funds. The Company also earns distribution fees from insurance company affiliates and from unaffiliated partners for acting as the introducing broker on the sale of affiliated and unaffiliated fixed and variable annuities and insurance products. Finally, the Company earns distribution fees from an affiliate, Ameriprise Certificate Company (ACC), for the sale of face value certificates through its financial advisors. The selling performance obligation of affiliated and unaffiliated mutual funds, annuities, insurance, and certificates is satisfied at the time of each individual sale. A portion of the revenue is based on a fixed rate applied, as a percentage, to amounts invested at the time of sale. The fixed rate is based on the applicable contract governing each type of transaction. The remaining revenue is recognized over the time the client owns the investment or holds the contract and is earned generally based on a fixed rate applied, as a percentage, to the net asset value of the fund, the market value of the investment, or the value of the insurance policy or annuity contract. The ongoing revenue is not recognized at the time of sale because it is variably constrained due to factors outside the Company's control including market volatility and client behavior (such as how long clients hold their investment, insurance policy or annuity contract). These fees are primarily for products sold in prior years. The revenue will not be recognized until it is probable that a significant reversal will not occur. The fees from affiliates are generally invoiced and collected on a weekly basis. Fees from third party insurance partners are generally recognized daily and recorded monthly or quarterly.

Distribution access fees

The Company earns revenue for providing an affiliate, AEIS, access to the Company's financial advisors. The Company's advisors will provide ongoing client acquisition and servicing, and product distribution services to AEIS. These performance obligations are considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. These fees are invoiced and collected on a weekly basis.

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Distribution support services

The Company earns revenue for performing distribution support services, primarily for insurance company affiliates. Support services the Company performs include retail distribution services, marketing and sales management, and other administrative services necessary to operate a retail distribution network. These performance obligations are considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. The revenue earned from each affiliate is based on a set of factors that consider product complexity and efficiency to the market. These fees are invoiced and collected monthly.

Other income

Fees from advisors

Fees from advisors include fees charged to franchise advisors for providing various services the advisors need to manage and grow their practices. The primary services include: licensing of intellectual property, licensing of software, compliance supervision, insurance coverage, technology services and support, consulting and other services. The services are either provided by the Company or third party-providers. The Company controls the services provided by third parties as they have the right to direct the third parties to perform the services, are primarily responsible for performing the services and set the prices the advisors are charged. The Company recognizes revenue for the gross amount of the fees received from the advisors. The fees are primarily collected as a reduction of bi-weekly commission payments.

Intellectual property and software licenses along with compliance supervision, insurance coverage, and technology services and support are primarily earned based on a monthly fixed fee. These services are considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. The consulting and other services performance obligations are satisfied as the services are delivered and revenue is earned based upon the level of service requested.

Receivables

Receivables for revenue from contracts with customers are recognized when the performance obligation is satisfied, and the Company has an unconditional right to recognize the revenue. Receivables related to revenues from contracts with customers were \$162,225, \$149,632, and \$398,389 as of December 31, 2020, 2019, and 2018, respectively.

4. Goodwill and Other Intangibles

Goodwill is not amortized but is instead subject to impairment tests. During the years ended December 31, 2020, 2019 and 2018, the tests did not indicate impairment.

Finite-lived intangible assets acquired for the years ended December 31, 2020, 2019 and 2018 representing the acquisition of advisor and customer relationships were \$25,290, \$27,946 and \$8,630, respectively, with a weighted average amortization period of five years. Aggregate amortization expense was \$17,110, \$19,351 and \$10,748 for the years ended December 31, 2020, 2019 and 2018, respectively. For the years ended December 31, 2020, 2019 and 2018, the impairment tests on finite-lived intangible assets did not indicate impairment.

Finite-lived intangible assets consisted of the following:

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	<u>Gross Carrying Amount</u>	<u>Accumulated Amortization</u>	<u>Net Carrying Amount</u>
Customer and advisor relationships	\$ 132,272	\$ 89,116	\$ 43,156
Non-compete agreements	19,543	3,767	15,776
Tax referral agreement	10,200	8,866	1,334
December 31, 2020 balance	<u>\$ 162,015</u>	<u>\$ 101,749</u>	<u>\$ 60,266</u>
Customer and advisor relationships	\$ 120,529	\$ 75,703	\$ 44,826
Tax referral agreement	10,200	8,315	1,885
Non-compete agreements	5,996	621	5,375
December 31, 2019 balance	<u>\$ 136,725</u>	<u>\$ 84,639</u>	<u>\$ 52,086</u>
Customer and advisor relationships	\$ 98,413	\$ 57,399	\$ 41,014
Tax referral agreement	10,200	7,723	2,477
December 31, 2018 balance	<u>\$ 108,613</u>	<u>\$ 65,122</u>	<u>\$ 43,491</u>

The estimated future amortization of finite-lived intangibles for years ending December 31 is as follows:

2021	\$ 16,863
2022	14,481
2023	12,408
2024	8,129
2025	4,110
Aggregate thereafter	4,275
Total	<u>\$ 60,266</u>

5. Business Owned Life Insurance

The Company holds cash value life insurance policies as a means of offsetting market fluctuations in certain deferred compensation liabilities. As of December 31, 2020, 2019 and 2018, the cash surrender value, which approximates fair value, of this life insurance was \$27,889, \$23,976 and \$19,714, respectively, and is included in the other assets line in the statements of financial condition.

6. Secured Demand Note Receivable and Subordinated Liabilities

In December 2014, a subordinated loan agreement in the form of a secured demand note was entered into with the Parent. The interest expense for the subordinated loan agreement for the years ended December 31, 2020, 2019 and 2018 was \$200, \$200 and \$200, respectively, and is reflected in the interest expense line in the statements of operations.

The borrowing available under the subordination agreement at December 31, 2020, is as follows:

Secured demand note collateral agreement, 0.10 percent, due December 15, 2021	<u>\$200,000</u>

The subordinated borrowing with the Parent is available in computing net capital under the SEC's uniform net capital rule. Under the terms of the subordinated loan agreement, to the extent that such borrowings are required for the Company's continued compliance with minimum net capital requirements, the Company is prohibited from making payments on the subordinated note agreement. The Company has the option to renew the current agreement in one-year increments in

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perpetuity. Pursuant to the agreement, the Parent must notify the Company on or before the day thirteen months preceding the maturity date if they do not intend to extend the maturity date of the agreement. The Company and the Parent have elected to not terminate the agreement for fiscal year 2021.

At December 31, 2020, 2019 and 2018, respectively, the secured demand note was collateralized by securities with an aggregate fair value of \$217,682, \$210,574, and \$210,509. Based on the character and fair value of the securities collateralizing the secured demand note receivable, the entire \$200,000 is available in computing net capital in accordance with the SEC's uniform net capital rule. The securities collateral has been deposited by the Parent in a separate custodial account for the exclusive benefit of the Company. In the event the Company draws on the secured demand note receivable, the maximum payment to the Company in accordance with the terms of the collateral agreement is \$200,000 and the stated interest rate adjusts from a standing ten basis points to LIBOR plus 90 basis points. The subordinated loan agreement and the associated secured demand note agreement entered into with the Parent was approved by FINRA prior to the respective effective dates.

7. Fair Values of Assets and Liabilities

U.S. GAAP defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date; that is, an exit price. The exit price assumes the asset or liability is not exchanged subject to a forced liquidation or distressed sale.

Valuation Hierarchy

The Company categorizes its fair value measurements according to a three-level hierarchy. The hierarchy prioritizes the inputs used by the Company's valuation techniques. A level is assigned to each fair value measurement based on the lowest level input that is significant to the fair value measurement in its entirety. The three levels of the fair value hierarchy are defined as follows:

Level 1	Unadjusted quoted prices for identical assets or liabilities in active markets that are accessible at the measurement date.
Level 2	Prices or valuations based on observable inputs other than quoted prices in active markets for identical assets and liabilities.
Level 3	Prices or valuations that require inputs that are both significant to the fair value measurement and unobservable.

Determination of Fair Value

The Company uses valuation techniques consistent with the market and income approaches to measure the fair value of its assets and liabilities. The Company's market approach uses prices and other relevant information generated by market transactions involving identical or comparable assets or liabilities. The Company's income approach uses valuation techniques to convert future projected cash flows to a single discounted present value amount. When applying either approach, the Company maximizes the use of observable inputs and minimizes the use of unobservable inputs. The following is a description of the valuation techniques used to measure fair value and the general classification of these instruments pursuant to the fair value hierarchy.

Cash Equivalents, Other Assets and Liabilities

When available, the fair value of securities is based on quoted prices in active markets. If quoted prices are not available, fair values are obtained from third party pricing services, non-binding broker quotes, or other model-based valuation techniques. The Company's cash equivalents, consisting of commercial paper and time deposits, are classified as Level 2 and are measured at amortized cost, which approximates fair value because of the short time between the purchase of the instrument and its expected realization. Level 1 other assets consist of common stock and government treasury bills and notes. Level 2 other assets consist of unitary investment trusts (UIT's), municipal bonds and limited market securities. Level 2 liabilities consist of UIT's, non-convertible debt securities, municipal bonds, government securities and agencies and limited market securities. Level 3 liabilities represent contingent consideration liabilities and/or earn outs related to the Company's acquisitions. Contingent consideration liabilities are recorded at fair value using the discounted cash flow

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model with one unobservable input (3.1% weighted average discount rate). Given the use of a significant unobservable input, the fair value of contingent consideration liabilities is classified as Level 3 within the fair value hierarchy.

The following table presents balances of assets and liabilities measured at fair value on a recurring basis:

December 31, 2020				
	Level 1	Level 2	Level 3	Total
Assets				
Cash equivalents				
Commercial paper	\$ —	\$ 592,040	\$ —	\$ 592,040
Time deposits	—	25,000	—	25,000
Other assets	41	49	—	90
Total assets at fair value	<u>\$ 41</u>	<u>\$ 617,089</u>	<u>\$ —</u>	<u>\$ 617,130</u>
Liabilities				
Contingent consideration liability	\$ —	\$ —	\$ 43,463	\$ 43,463
Other liabilities	—	374	—	374
Total liabilities at fair value	<u>\$ —</u>	<u>\$ 374</u>	<u>\$ 43,463</u>	<u>\$ 43,837</u>
December 31, 2019				
	Level 1	Level 2	Level 3	Total
Assets				
Cash equivalents				
Commercial paper	\$ —	\$ 588,413	\$ —	\$ 588,413
Other assets	376	—	—	376
Total assets at fair value	<u>\$ 376</u>	<u>\$ 588,413</u>	<u>\$ —</u>	<u>\$ 588,789</u>
Liabilities				
Contingent consideration liability	\$ —	\$ —	\$ 33,083	\$ 33,083
Other liabilities	—	54	—	54
Total liabilities at fair value	<u>\$ -</u>	<u>\$ 54</u>	<u>\$ 33,083</u>	<u>\$ 33,137</u>
December 31, 2018				
	Level 1	Level 2	Level 3	Total
Assets				
Cash equivalents				
Commercial paper	\$ —	\$ 423,179	\$ —	\$ 423,179
Other assets	47	616	—	663
Total assets at fair value	<u>\$ 47</u>	<u>\$ 423,795</u>	<u>\$ —</u>	<u>\$ 423,842</u>
Liabilities				
Contingent consideration liability	\$ —	\$ —	\$ 14,653	\$ 14,653
Other liabilities	12	70	—	82
Total liabilities at fair value	<u>\$ 12</u>	<u>\$ 70</u>	<u>\$ 14,653</u>	<u>\$ 14,735</u>

During the reporting period, there were no material assets or liabilities measured at fair value on a nonrecurring basis.

There were no transfers between levels during the periods.

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The following table provides a summary of changes in Level 3 liabilities measured at fair value on a recurring basis:

	Contingent consideration liability
Balance at January 1, 2020	\$ 33,083
Accretion included in earnings	1,251
Issuances	25,148
Settlements	(16,019)
Balance at December 31, 2020	<u>\$ 43,463</u>
Balance at January 1, 2019	\$ 14,653
Accretion included in earnings	1,260
Issuances	18,060
Settlements	(890)
Balance at December 31, 2019	<u>\$ 33,083</u>
Balance at January 1, 2018	\$ 13,393
Accretion included in earnings	1,260
Balance at December 31, 2018	<u>\$ 14,653</u>

Fair Value of Financial Instruments

In general, the Company's financial assets and liabilities are carried at fair value or at amounts which, because of their short-term nature and based on market interest rates available to the Company at December 31, 2020, 2019 and 2018, approximate fair value.

Included in receivables from financial advisors and employees on the statements of financial condition are loans receivable from financial advisors. As of December 31, 2020, 2019 and 2018, the carrying value of the loans is \$2,231, \$3,873, and \$2,851, respectively, which approximates fair value. These receivables, not included in the table above, are considered a level 3 fair value.

As of December 31, 2020, 2019 and 2018, the fair value of the secured demand note receivable and the subordinated liability approximate book value of \$200,000. This receivable and liability, not included in the table above, are both considered level 2 fair value. As of December 31, 2020, the secured demand note collateral consisted of corporate bonds and agency mortgage-backed securities and is considered level 2 fair value.

8. Net Capital Provision and Regulatory Requirements

As a registered broker dealer, the Company is subject to the SEC's uniform net capital rule (SEA Rule 15c3-1).

The Company computes its net capital requirements under the alternative method provided for in SEA Rule 15c3-1, which requires the Company to maintain net capital equal to 2% of combined aggregate customer-related debit items, as defined (or \$250, if greater).

At December 31, 2020, 2019 and 2018, the Company had net capital of \$134,221, \$93,853 and \$108,104, respectively, which was \$133,971, \$93,603 and \$107,854, respectively, in excess of the amount required to be maintained at those dates. Advances to affiliates, dividend payments and other equity withdrawals are subject to certain notification and other provisions of the net capital rule of the SEC and other regulatory bodies.

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The Company has claimed exemption from SEA Rule 15c3-3 of the SEC under paragraphs (k)(2)(i) and (k)(2)(ii) of that rule.

9. Leases

The Company has a short-term intercompany lease agreement with an affiliate, Ameriprise Holdings, Inc. (AHI). The agreement has a one-year term with no contractual renewal provision and is cancelable by either party with 30 days notice. No lease asset or liability is recorded on the statement of financial condition. Rent expense was \$39,744, \$37,802 and, \$35,248, for the years ended December 31, 2020, 2019 and 2018, respectively, and is reflected in the occupancy line in the statements of operations.

Under the same agreement the Company compensates AHI for use of property, equipment and similar items that AHI owns or maintains. These expenses were \$55,060, \$46,266 and \$38,283 for 2020, 2019 and 2018, respectively, and are included in the service fees charged by Parent and affiliates line in the statements of operations.

10. Commitments and Contingencies

In the normal course of business, the Company may indemnify and guarantee certain service providers against potential losses in connection with their acting as service providers to the Company. The maximum potential amount of future payments the Company could be required to make under these indemnifications cannot be estimated, however, the Company believes that it is unlikely it will have to make material payments under these arrangements and has not recorded a contingent liability in the financial statements for any indemnifications.

The Company has agreed to indemnify an affiliate, AEIS, for any losses that it may sustain from the customer accounts introduced by the Company. The Company reserves for these potential losses. At December 31, 2020, 2019 and 2018, the reserve was \$3,053, \$2,597 and \$2,548, respectively, and is reflected in the other liabilities line in the statements of financial condition. At December 31, 2020, there were no amounts indemnified to AEIS for these customer accounts.

The Company is involved in the normal course of business in legal, regulatory and arbitration proceedings, including class actions, concerning matters arising in connection with the conduct of its activities as a diversified financial services firm. These include proceedings specific to the Company as well as proceedings generally applicable to business practices in the industries in which it operates. The Company can also be subject to litigation arising out of its general business activities, such as its investments, contracts, leases and employment relationships. Uncertain economic conditions, heightened and sustained volatility in the financial markets and significant financial reform legislation may increase the likelihood that clients and other persons or regulators may present or threaten legal claims or that regulators increase the scope or frequency of examinations of the Company or the financial services industry generally.

As with other financial services firms, the level of regulatory activity and inquiry concerning the Company's businesses remains elevated. From time to time, the Company receives requests for information from, and/or has been subject to examination or claims by, the SEC, FINRA, state insurance and securities regulators, state attorneys general and various other governmental and quasi-governmental authorities on behalf of themselves or clients concerning the Company's business activities and practices, and the practices of the Company's financial advisors. The Company has numerous pending matters which include information requests, exams or inquiries that the Company has received during recent periods regarding certain matters, including: sales and distribution of mutual funds, exchange traded funds, annuities, equity and fixed income securities, real estate investment trusts, insurance products, and financial advice offerings, including managed accounts; supervision of the Company's financial advisors; security of client information; and transaction monitoring systems and controls. The Company has cooperated and will continue to cooperate with the applicable regulators.

These legal and regulatory proceedings and disputes are subject to uncertainties and, as such, it is inherently difficult to determine whether any loss is probable or even reasonably possible, or to reasonably estimate the amount of any loss. The Company cannot predict with certainty if, how or when any such proceedings will be initiated or resolved or what the eventual settlement, fine, penalty or other relief, if any, may be, particularly for proceedings that are in their early stages of development or where plaintiffs seek indeterminate damages. Numerous issues may need to be resolved, including through potentially lengthy discovery and determination of important factual matters, and by addressing unsettled legal questions

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relevant to the proceedings in question, before a loss or range of loss can be reasonably estimated for any proceeding. An adverse outcome in one or more proceeding could eventually result in adverse judgments, settlements, fines, penalties or other sanctions, in addition to further claims, examinations or adverse publicity that could have a material adverse effect on the Company's financial condition or results of operations.

In accordance with applicable accounting standards, the Company establishes an accrued liability for contingent litigation and regulatory matters when those matters present loss contingencies that are both probable and can be reasonably estimated. In such cases, there still may be an exposure to loss in excess of any amounts reasonably estimated and accrued. When a loss contingency is not both probable and estimable, the Company does not establish an accrued liability, but continues to monitor, in conjunction with any outside counsel handling a matter, further developments that would make such loss contingency both probable and reasonably estimable. Once the Company establishes an accrued liability with respect to a loss contingency, the Company continues to monitor the matter for further developments that could affect the amount of the accrued liability that has been previously established, and any appropriate adjustments are made each month.

11. Income Taxes

Effective January 1, 2020, the Company adopted guidance simplifying the accounting for income taxes. As a result of the adoption and the Company's conversion to a limited liability company in 2020 which resulted in it becoming a disregarded entity, income taxes expense, income tax receivables and payables, and deferred tax assets and liabilities are no longer recognized in the financial statements for the Company. See Note 1 and 2. The components of the income tax provision for periods prior to January 1, 2020 were as follows:

	<u>Years ended December 31,</u>	
	<u>2019</u>	<u>2018</u>
Current income tax:		
Federal	\$ 149,260	\$ 149,227
State and local	<u>39,219</u>	<u>30,098</u>
Total current income tax	<u>188,479</u>	<u>179,325</u>
Deferred income tax:		
Federal	(33,692)	(26,261)
State and local	<u>(6,609)</u>	<u>(7,881)</u>
Total deferred income tax	<u>(40,301)</u>	<u>(34,142)</u>
Total income tax provision, net	<u>\$ 148,178</u>	<u>\$ 145,183</u>

The provision for income taxes for 2019 and 2018 differs from the amount computed by applying the U.S. federal corporate tax rates of 21% to 2019 and 2018 to the income before income taxes. The reasons for this difference are summarized as follows:

	<u>2019</u>	<u>2018</u>
Federal tax expense at U.S. statutory rate	21.0 %	21.0 %
State income taxes, net of federal benefit	4.2	3.2
Other, net	<u>(1.1)</u>	<u>(0.2)</u>
Income tax rate	<u>24.1 %</u>	<u>24.0 %</u>

Significant components of the Company's deferred income tax assets and liabilities as of December 31, 2019 and 2018 were as follows:

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	<u>2019</u>	<u>2018</u>
Deferred income tax assets:		
Deferred compensation	\$ 120,041	\$ 102,549
Legal contingency	—	—
Other	<u>16,929</u>	<u>17,113</u>
Total deferred income tax assets	<u>136,970</u>	<u>119,662</u>
Deferred income tax liabilities:		
Deferred commission and intercompany gains	—	—
Other	<u>4,836</u>	<u>5,099</u>
Total deferred income tax liabilities	<u>4,836</u>	<u>5,099</u>
Net deferred income tax asset	<u>\$ 132,134</u>	<u>\$ 114,563</u>

The Company was required to establish a valuation allowance for any portion of the deferred income tax assets that management believed would not be realized. In the opinion of management, it was more likely than not that the Company would realize the benefit of the deferred income tax assets, and therefore, no such valuation allowance was established.

The Company had a payable to the Parent for current federal income taxes of \$4,965 and \$2,690 at December 31, 2019, and 2018, respectively. Also, the Company had a payable of \$12,976 and \$5 to the Parent for state income taxes at December 31, 2019 and 2018, respectively. In the statements of financial condition, all of the receivables are included in the fees due from affiliates line and all of the payables are included in the due to affiliates line.

The Company files income tax returns, as part of its inclusion in the consolidated federal income tax return of Ameriprise Financial (the Parent), in the U.S. federal jurisdiction and various state jurisdictions. The federal statute of limitation are closed on years through 2015, except for one issue for 2014 and 2015 which was claimed on amended returns. The IRS is currently auditing the Parent's U.S. income tax returns for 2016, 2017 and 2018. Ameriprise Financial's or its subsidiaries', including the Company's, state tax returns are currently under examination by various jurisdictions for years ranging from 2010 through 2019.

A reconciliation of the beginning and ending amount of unrecognized tax benefits are as follows:

	<u>2019</u>	<u>2018</u>
Balance at January 1	\$ 16,597	\$ 14,135
Additions based on tax positions related to the current year	2,631	2,659
Additions for tax positions of prior years	0	269
Reductions for tax positions of prior years	<u>(7,785)</u>	<u>(466)</u>
Balance at December 31	<u>\$ 11,443</u>	<u>\$ 16,597</u>

If recognized, approximately \$9,040 and \$13,112, net of federal tax benefits, of unrecognized tax benefits as of December 31, 2019 and 2018, respectively, would have affected the effective tax rate.

The Company recognized interest and penalties related to unrecognized tax benefits as a component of the income tax provision. The Company recognized a decrease in interest and penalties of \$1,443 as of December 31, 2019 and an increase in interest and penalties of \$524 as of December 31, 2018. At December 31, 2019 and 2018 the Company had a payable of \$1,428 and \$2,871, respectively, related to accrued interest and penalties.

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12. Related Party Transactions

The amounts of revenue earned from affiliates may not be reflective of revenues that could have been earned on similar levels of activity with unrelated third parties. Similarly, the expenses allocated to the Company may not be reflective of expenses that would have been incurred by the Company on a stand-alone basis. Revenues received from affiliates are described in Note 3.

The Company is allocated certain administrative expenses, including technology, client servicing costs, rent, finance, human resources, legal services, insurance premiums and marketing, by the Parent on a prorated basis. These allocated expenses were \$393,408, \$393,403 and \$353,683 for 2020, 2019 and 2018, respectively. These expenses are included in the service fees charged by Parent and affiliates line in the statements of operations.

The Company receives reimbursements in insured losses in connection with errors and omissions expense from an affiliate, Ameriprise Captive Insurance Company (ACIC), acting as administrator of the professional services insurance policy for a third-party insurance carrier, relating to claims filed in current and prior years. The reimbursements received for 2020, 2019 and 2018 were \$8,179, \$5,993 and \$5,999, respectively, and are included in the sales training, promotion, travel and other line in the statements of operations.

In the normal course of the business, the Company provides distribution services to entities which may have a direct financial interest in the Parent. Fees earned include 12b-1 distribution fees and marketing support fees. These amounts have been reflected within the corresponding financial statement line item.

Receivables due from affiliates on the statements of financial condition primarily consist of distribution fees of \$69,987, \$67,839 and \$60,210, trading concessions of \$8,570, \$2,843 and \$11,494, marketing support fees of \$10,478, \$5,386 and \$6,786, deferred income taxes of \$0, \$2,089 and \$3,879, and an insurance recoverable of \$14,050, \$16,230 and \$16,419 at December 31, 2020, 2019 and 2018, respectively.

Payables due to affiliates on the statements of financial condition primarily consist of administrative expenses of \$76,749, \$102,719 and \$114,255, current income taxes of \$0, \$17,940 and \$2,695, use of property and equipment maintenance for \$3,496, \$7,395 and \$7,740, cash for affiliated product purchases of \$7,993, \$7,955 and \$19,099 due to various affiliates for investments in products and clearing charges for \$10,373, \$411 and \$4,179 at December 31, 2020, 2019 and 2018, respectively.

The Company clears the majority of transactions with AEIS, which charges the Company clearing fees on a per trade basis. Such clearing charges were \$62,158, \$52,234 and \$43,594 for 2020, 2019 and 2018, respectively. These expenses are included in the clearing charges to affiliate line in the statements of operations.

The Company participates in the Parent's Retirement Plan (the Plan), which covers all permanent employees age 21 and over who have met certain employment requirements. The Plan includes a cash balance formula and a lump sum distribution option. Pension benefit contributions to the Plan are based on participants' age, years of service and total compensation for the year. Funding of retirement costs for the Plan complies with the applicable minimum funding requirements specified by the Employee Retirement Income Security Act (ERISA).

The Company's share of the total net periodic pension cost in 2020, 2019 and 2018, including field employees (employee financial advisors, employee field leaders and related staff), was \$10,256, \$9,694 and \$9,394, respectively, and is reflected in the compensation and benefits line in the statements of operations.

The Company also participates in defined contribution pension plans of the Parent that cover all employees who have met certain employment requirements. The Company's contributions to the plans are a percentage of either each employee's eligible compensation or basic contributions. Costs of these plans charged to operations in 2020, 2019 and 2018, including field employees, were \$24,516, \$24,068 and \$22,883, respectively, and are reflected in the compensation and benefits line in the statements of operations.

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The Company originated \$179,413, \$166,152 and \$126,250 of advisor recruitment loans for the years ended December 31, 2020, 2019 and 2018, respectively, all of which were sold to an affiliated, non-broker dealer entity, Ameriprise Advisors Capital, Inc. (AAC) at net book value, which approximates fair value. The amount of loss provision recorded on advisor recruitment loans was \$5,531, \$7,622 and \$3,788 for the years ended December 31, 2020, 2019 and 2018, respectively. A realized loss of \$18,187, \$7,835 and \$0 was recognized in the investment income, net line in the statements of operations, for the years ended December 31, 2020, 2019 and 2018, respectively.

Effective October 2011, the Company entered into two separate revolving credit agreements with the Parent, each with an interest rate of LIBOR plus 90 basis points, whereby in one the Company can borrow up to \$100,000 from the Parent and in the second the Parent can borrow up to \$100,000 from the Company. As of December 31, 2020, and for the year ended, there were no draws on these lines of credit.

Effective December 2014, the Company and the Parent entered into a secured demand note collateral and subordinated loan agreement for \$200,000 at a stated interest rate of 0.10% due to mature at December 15, 2021 with the option to renew in one-year increments in perpetuity.

The Company recorded capital contributions from the parent of \$0, \$9,719 and \$17,620 in 2020, 2019 and 2018, respectively, and paid dividends to the parent of \$675,774, \$458,173 and \$413,887 in 2020, 2019 and 2018, respectively.

Share-Based Compensation

The Company's employees and advisors participate in various share-based compensation plans offered by its Parent.

Incentive Compensation Plans

The Parent's Incentive Compensation Plan primarily grants restricted stock awards and stock units that generally vest ratably over three to four years to the Company's employees. Vesting of restricted awards and units may be accelerated based on age and length of service. Compensation expense for restricted stock awards is based on the market price of the Parent's stock on the date of grant and is amortized on a straight-line basis over the vesting period. Quarterly dividends are paid on restricted stock and stock units during the vesting period and are not subject to forfeiture. A summary of the Company's restricted stock award and stock unit activity is presented below:

	2020	
	Shares	Weighted Average Grant-date Fair Value per Share
Non-vested shares at January 1	80	\$136.30
Granted	53	\$165.41
Vested	(52)	\$138.32
Forfeited	(3)	\$157.37
Non-vested shares at December 31	<u>78</u>	<u>\$153.86</u>

The fair value of restricted stock awards and stock units vested during the years ended December 31, 2020, 2019 and 2018 was \$8,776, \$6,303 and \$6,985, respectively. For the years ended December 31, 2020, 2019 and 2018, expense related to restricted stock and stock unit awards was \$7,063, \$6,030 and \$5,538, respectively, and is reflected in the compensation and benefits line in the statements of operations.

Franchise Advisor Deferred Compensation Plan

The Parent's Franchise Advisor Deferral Plan, which was amended in January 2011, gives certain advisors the choice to defer a portion of their commissions into share-based awards or other investment options. The Franchise Advisor Deferral Plan is an unfunded non-qualified deferred compensation plan under section 409A of the Internal Revenue Code.

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The number of units awarded is based on the performance measures, deferral percentage and market value of the Parent's common stock on the deferral date as defined by the plan. Share-based awards made are fully vested and are not subject to forfeitures. In addition to the voluntary deferral, certain advisors are eligible for the Franchise Advisor Top Performer Stock Award or the Franchise Consultant Growth Bonus. The Franchise Advisor Top Performer Stock Award allows eligible advisors to earn additional deferred stock awards on commissions over a specified threshold. The awards vest ratably over four years. The Franchise Consultant Growth Bonus allows eligible advisors who coach other advisors the ability to earn a bonus based on the success of the advisors they coach, which can be deferred into the plan. The awards vest ratably over three years. The Franchise Advisor Deferral Plan allows for accelerated vesting of the share-based awards based on age and years as an advisor. Commission expense is recognized on a straight-line basis over the vesting period. For the years ended December 31, 2020, 2019 and 2018, expense related to share-based units awarded under the Franchise Advisor Deferral Plan was \$29,249, \$30,041 and \$29,697, respectively, and is reflected in the commissions line in the statements of operations.

As of December 31, 2020, there were approximately 1,961 units outstanding under the Franchise Advisor Deferral Plan, of which 1,961 were fully vested.

Advisor Group Deferred Compensation Plan

The Parent's Advisor Group Deferral Plan, which was created in April 2009, allows for employee advisors to receive share-based bonus awards which are subject to future service requirements and forfeitures. The Advisor Group Deferral Plan is an unfunded non-qualified deferred compensation plan under section 409A of the Internal Revenue Code. The Advisor Group Deferral Plan also gives qualifying employee advisors the choice to defer a portion of their base salary or commissions. This deferral can be in the form of share-based awards or other investment options. Deferrals are not subject to future service requirements or forfeitures. Awards granted under the Advisor Group Deferral Plan may be settled in cash and/or shares of the Parent's common stock according to the award's terms. For the years ended December 31, 2020, 2019 and 2018, expense related to share-based units awarded under the Advisor Group Deferral Plan was \$29,653, \$18,512 and \$18,066, respectively.

As of December 31, 2020, there were approximately 882 units outstanding under the Advisor Group Deferral Plan, of which 137 were fully vested.

The total unamortized compensation expense to be recognized for all the share-based plans for the years ended December 31, 2020, 2019 and 2018 was \$88,665, \$69,555 and \$54,382, respectively, and is reflected in the commissions line in the statements of operations.

13. Subsequent Events

As of February 24, 2021, which is the date the financial statements were available to be issued, the Company has evaluated events or transactions that may have occurred after the statement of financial condition date for potential recognition or disclosure. No events or transactions require disclosure.

EXHIBIT O

Ameriprise Financial Services, LLC 960 Ameriprise Financial Center Minneapolis, MN 55474

Death and Disability Plan



Transferring Advisor ID



- Once this form is submitted and processed, this Death and Disability Plan will nullify and supersede any previous plan on file. The Transferring Advisor is responsible for informing all previous acquiring advisor(s) that they are no longer the current successor(s).
- This form is used to document the intended acquiring advisor(s) of the client groups for which the franchise advisor is the Primary Advisor in the event of the franchise advisor's death or disability; after submission, this form will be kept on file in the corporate office.
- In addition to this Death and Disability form, franchise advisors should develop a formal buy/sell agreement between themselves and their successor(s); the buy/sell agreement should be maintained within the advisor's personal records.
- For assistance, information, policy and resources refer to Advisor Compass (Home > Resources > Practice Management) or send an email to teampractices@ampf.com.



- Once this form is submitted and processed, this Death and Disability Plan will nullify and supersede any previous plan on file. The Transferring Advisor is responsible for informing all previous acquiring advisor(s) that they are no longer the current successor(s).
- This form is used to document the intended acquiring advisor(s) of the client groups for which the franchise advisor is the Primary Advisor in the event of the franchise advisor's death or disability; after submission, this form will be kept on file in the corporate office.
 - In addition to this Death and Disability form, franchise advisors should develop a formal buy/sell agreement between themselves and their successor(s); the buy/sell agreement should be maintained within the advisor's personal records.
 - For assistance, information, policy and resources refer to Advisor Compass (Home > Resources > Practice Management) or send an email to teampractices@ampf.com.

Advisor Information



Transferring Advisor Name

Transferring Advisor ID

Acquiring Advisor Name

Acquiring Advisor ID

Release of Claims

Release of Transferring Advisor. In consideration of Ameriprise's consent to the transfer of interest granted under the Ameriprise Financial Services, LLC ("Ameriprise") Independent Advisor Business Franchise Agreement ("Franchise Agreement") contemplated herein ("Succession Plan"), Transferring Advisor hereby releases all rights or claims, known or unknown, he/she has or may have now to any relief of any kind from Ameriprise Financial Services, LLC ("Ameriprise") and any company related to or affiliated with Ameriprise in the present or past, Ameriprise's present or past officers, directors, employees, and any person who acted on behalf of Ameriprise or on instructions from Ameriprise (the "Company"), relating to or arising from the negotiation of, execution of, implementation of, or performance by the Transferring Advisor of any obligation under this Succession Plan.

In further consideration of Ameriprise consent to the Succession Plan, Transferring Advisor releases all rights or claims, known or unknown, he/she has or may have now to any relief of any kind from the Company, relating to Transferring Advisor's affiliation with Ameriprise as an Independent Contractor/Franchisee, and the termination of Transferring Advisor's Franchise Agreement, including, but not limited to, claims for breach of contract; breach of fiduciary duty; fraud or misrepresentation; defamation; state franchise laws; intentional or negligent infliction of emotional distress; breach of the covenant of good faith and fair dealing; promissory estoppel; and negligence. In addition, although Transferring Advisor acknowledges that he/she is an Independent Contractor/Franchisee, and no employer/employee relationship exists between Transferring Advisor and Ameriprise, this Release includes any alleged violation of the Age Discrimination in Employment Act, Title VII of the Civil Rights Act of 1964, the Americans with Disabilities Act, or any other federal, state, or local civil rights laws or common laws.

Transferring Advisor's Right to Review and Revoke Release of Claims. Transferring Advisor acknowledges that he/she has had a period of no less than twenty-one days (21) to review and consider this Release of Claims before signing it. Transferring Advisor may rescind this Release within seven (7) calendar days of the date this Release is received. Transferring Advisor may rescind this Release by notifying Ameriprise by email within 7

calendar days of Transferring Advisor's submission of this Release. To be effective, such notice of rescission must be e-mailed to teampractices@ampf.com .

Release of Acquiring Advisor. In consideration of Ameriprise's consent to the client transfer, Acquiring Advisor hereby releases all rights or claims, known or unknown, he/she has or may have now to any relief of any kind from the Company, relating to or arising from the negotiation of, execution of, implementation of, or performance by the Transferring Advisor of any obligation related to this Succession Plan.

Notwithstanding any of the foregoing, this release shall become effective only upon the transfer of all or part of Transferring Advisor's Ameriprise practice to Acquiring Advisor pursuant to this Succession Plan. Nothing in this Release of Claims shall constitute a release of any claim that Acquiring Advisor has or may have against Transferring Advisor or the Transferring Advisor has or may have against the Acquiring Advisor relating to or arising out of the Succession Plan.

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EXHIBIT O

Acknowledgments and Authorization

Transferring Advisor authorizes Ameriprise to reassign all of the Transferring Advisor's clients for which they are the Primary Advisor to Acquiring Advisor(s) in the event of Transferring Advisor's death or disability.

Transferring Advisor and Acquiring Advisor(s) each acknowledges that he/she:

- Has independently entered into the Death and Disability plan.
- That each has conducted any due diligence or investigation he/she deems appropriate.
- Has made an independent assessment of the Death and Disability Plan.
- Has not relied upon any representation or action by Ameriprise in deciding to enter into the Death and Disability Plan.

Acquiring Advisor acknowledges that any relief from the Franchise Agreement's restrictive covenants contained in Addendum 3 (V, T or R) shall not be effective for a period of three (3) years for clients acquired pursuant to this Succession Plan. In other words, **clients acquired under this Succession Plan will be subject to the one-year non-solicitation provision found in Franchise Agreement Section 19 for a period of three years following the transfer of clients.**

Acquiring Advisor acknowledges and agrees that Ameriprise has the right to deduct any outstanding monetary obligations or debt owed to it by Transferring Advisor from any compensation paid by Ameriprise to Acquiring Advisor. Transferring Advisor acknowledges and agrees that he/she shall remain liable for all the obligations to Ameriprise in connection with the Franchise Agreement. Transferring Advisor further acknowledges and agrees that Acquiring Advisor may offset the sale price, if any, in an amount equal to any monetary obligations or debt owed to Ameriprise by Transferring Advisor that is paid to Ameriprise by the Acquiring Advisor on behalf of the Transferring Advisor.

Transferring Advisor represents that, within the 90 days following the client transfer, he/she does not intend to leave Ameriprise Financial and either attempt to solicit, or provide financial services or products to, the transitioned clients.

Transferring Advisor and Acquiring Advisor acknowledge and agree that Ameriprise's consent is conditioned on the Client Transfer being in good faith; if within 90 days Ameriprise determines that the Client Transfer is not in good faith, Ameriprise's consent may be revoked.

Transferring Advisor and Acquiring Advisor each acknowledge that Ameriprise is not a party to any agreement associated with the Succession Plan, and that Ameriprise's consent to the Succession Plan pursuant to the Franchise Agreement does not constitute an adoption or approval of any agreement associated with the Succession Plan, even if such an agreement is requested by Ameriprise for consent consideration or otherwise. Both the Transferring Advisor and Acquiring Advisor acknowledge and agree that any agreement associated with the Succession Plan is in compliance with the acceptable/unacceptable provisions, requirements and conditions outlined in the Succession Planning and Internal Practice Acquisition Manual.

Transferring Advisor and Acquiring Advisor agree that they will treat the terms of this Succession Plan, including the Release of Claims, as strictly confidential, except that each may disclose its terms to their spouse, attorney and tax adviser, who shall be advised of the confidential nature of the Succession Plan.

Prior to processing the client transfer request, the corporate office will determine if the advisor meets all eligibility requirements, and the processing of this form will constitute corporate consent to the client transfer.

Required Signatures

<u>Transferring Advisor Name</u>	<u>Transferring Advisor ID</u>
<u>Transferring Advisor Signature</u>	<u>Date (MMDDYYYY)</u>
	
<u>Acquiring Advisor Name</u>	<u>Acquiring Advisor ID</u>
<u>Acquiring Advisor Signature</u>	<u>Date (MMDDYYYY)</u>
	

EXHIBIT O

<u>Additional Acquiring Advisor Name</u>	<u>Additional Acquiring Advisor ID</u>
<u>Additional Acquiring Advisor Name</u>	<u>Additional Acquiring Advisor ID</u>
<u>Additional Acquiring Advisor Signature</u>	<u>Date (MMDDYYYY)</u>
	<u>Date (MMDDYYYY)</u>
	
This RVP/FFVP signature line shall intentionally remain blank until a triggering event such as the advisor's death or disability. Corporate office will obtain the signature when it is needed. ~~This RVP/FFVP signature line shall intentionally remain blank until a triggering event such as the advisor's death or disability. Corporate office will obtain the signature when it is needed.~~	
<u>Transferring Advisor's RVP/FFVP Name</u>	
<u>Transferring Advisor's RVP/FFVP Consent:</u>	<u>Date (MMDDYYYY)</u>
	<u>Date (MMDDYYYY)</u>
	

STATE EFFECTIVE DATES

The following states have franchise laws that require that the Franchise Disclosure Document be registered or filed with the state, or be exempt from registration: California, Hawaii, Illinois, Indiana, Maryland, Michigan, Minnesota, New York, North Dakota, Rhode Island, South Dakota, Virginia, Washington, and Wisconsin.

This document is effective and may be used in the following states, where the document is filed, registered, or exempt from registration, as of the Effective ~~Dates~~Date stated below:

State	Effective Date
California	~~December 23, 2020~~ <u>March 02, 2022</u>
Hawaii	~~March 30, 2021~~ <u>Pending</u>
Illinois	March ~~26, 2021~~ <u>28, 2022</u>
Indiana	March ~~26, 2021~~ <u>28, 2022</u>
Maryland	~~March 30, 2021~~ <u>Pending</u>
Michigan	March ~~26, 2021~~ <u>28, 2022</u>
Minnesota	~~April 9, 2021~~ <u>Pending</u>
New York	March ~~26, 2021~~ <u>28, 2022</u>
North Dakota	~~March 31, 2021~~ <u>Pending</u>
Rhode Island	~~March 31, 2021~~ <u>Pending</u>
South Dakota	~~March 26, 2021~~ <u>Pending</u>
Virginia	~~April 12, 2021~~ <u>Pending</u>
Washington	~~June 11, 2021~~ <u>Pending</u>
Wisconsin	March ~~26, 2021~~ <u>28, 2022</u>

Other states may require registration, filing, or exemption of a franchise under other laws, such as those that regulate the offer and sale of business opportunities or seller-assisted marketing plans.

**ITEM 23
RECEIPT**

This Disclosure Document summarizes certain provisions of the franchise agreement and other information in plain language. Read this Disclosure Document and all agreements carefully.

If Ameriprise Financial offers you a franchise, it must provide this Disclosure Document to you 14 calendar-days before you sign a binding agreement with, or make a payment to, the franchisor or an affiliate in connection with the proposed franchise sale.

Iowa and New York require that we give you this Disclosure Document at the earlier of the first personal meeting or ten (10) business days (or fourteen (14) calendar days in Iowa) before the execution of the franchise or other agreement or the payment of any consideration that relates to the franchise relationship. Michigan requires that we give you this Disclosure Document at least ten (10) business days before the execution of any binding franchise or other agreement or the payment of any consideration, whichever occurs first.

If Ameriprise Financial does not deliver this Disclosure Document on time or if it contains a false or misleading statement, or a material omission, a violation of federal and state law may have occurred and should be reported to the Federal Trade Commission, Washington, D.C. 20580 and the state agencies listed in EXHIBIT E.

The Franchisor is Ameriprise Financial Services, LLC located at 200 Ameriprise Financial Center, Minneapolis, Minnesota 55474. Its telephone number is (612) 671-3131.

Issuance date: March ~~26, 2021 as amended October 6, 2021~~ 28, 2022.

The franchise seller involved in offering and selling the franchise to you is Manish P. Dave, 1050 Ameriprise Financial Center, Minneapolis, Minnesota 55474, (612) 671-0932, or is written below or will be provided to you separately (with address and telephone number) before you sign a franchise agreement:

~~Ameriprise Financial authorizes the agents listed in Exhibit E to receive service of process for it. The franchise seller involved in offering and selling the franchise to you is Manish P. Dave, 1050 Ameriprise Financial Center, Minneapolis, Minnesota 55474, (612) 671-0932, or is written below or will be provided to you separately (with address and telephone number) before you sign a franchise agreement:~~

~~Ameriprise Financial authorizes the agents listed in Exhibit E to receive service of process for it.~~ I have received a Franchise Disclosure Document, dated March ~~26, 2021 as amended October 6, 2021~~ 28, 2022, that includes the following Exhibits:

- A. Independent Advisor Business Franchise Agreement (including Addendum 1 (Supervision Agreement), Addendum 2 (Registered Principal Agreement), Addendum 3-T (Employee to Franchise Transitions), Addendum 3-V (Veteran Advisor Recruits), Addendum 4 (Associate Financial Advisor), Addendum 5 (Franchise Consultant Services), and Addendum 6 (Fee Waiver)).
- B. State Addenda
- C. List of Affiliates
- D. Confidentiality Agreement
- E. State Administrators and Agents for Service of Process
- F. Independent Advisor Compliance Certification
- G. Franchise Consulting Services Agreement
- H. Promissory Note
- I. AdvisorCompass® Software License User's Agreement
- J. List of Independent ~~Financial~~ Advisor Locations
- K. Independent Advisors that Have Left the System
- L. GDC Calculation Examples
- M. Loan and Security Agreement
- N. Financial Statements
- O. Death and Disability Plan (including General Release)

Independent Advisor

By: _____ Name: _____ Title: _____

Ameriprise Financial Services, LLC – FDD

Date:

Social Security Number: _____

Advisor Number: _____

*Please sign and date this receipt (with the date that you received the Disclosure Document) and return to your Ameriprise franchise salesperson, in person or by mail, as instructed in the communication you received with this Disclosure Document. If you did not receive instructions on how to return this receipt, please mail to Team Practices & Operations, 960 Ameriprise Financial Center, Minneapolis, Minnesota 55474.

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- F. Independent Advisor Compliance Certification
- G. Franchise Consulting Services Agreement
- H. Promissory Note
- I. *AdvisorCompass*® Software License User's Agreement
- J. List of Independent ~~Financial~~ Advisor Locations
- K. Independent Advisors that Have Left the System
- L. GDC Calculation Examples
- M. Loan and Security Agreement
- N. Financial Statements
- O. Death and Disability Plan (including General Release)

Independent Advisor

By: _____

Title: _____

Name: _____

Ameriprise Financial Services, LLC – FDD

Date:

Social Security Number: _____

Advisor Number: _____

***KEEP THIS COPY FOR YOUR RECORDS**

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NOTES:

Ameriprise Financial Services, LLC – FDD

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