

BrokerCheck Report

JESSE LYNN WEBB

CRD# 2298761

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**JESSE L. WEBB**

CRD# 2298761

Currently employed by and registered with the following Firm(s):

IA AMERIPRISE FINANCIAL SERVICES, LLC
 24 WATERWAY AVE
 STE 1400
 THE WOODLANDS, TX 77380
 CRD# 6363
 Registered with this firm since: 11/12/2021

B AMERIPRISE FINANCIAL SERVICES, LLC
 24 WATERWAY AVE
 STE 1400
 THE WOODLANDS, TX 77380-3391
 CRD# 6363
 Registered with this firm since: 11/12/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 16 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA OPPENHEIMER & CO. INC.**
 CRD# 249
 NEW YORK, NY
 02/2012 - 11/2021
- B OPPENHEIMER & CO. INC.**
 CRD# 249
 THE WOODLANDS, TX
 01/2012 - 11/2021
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 THE WOODLANDS, TX
 10/2007 - 02/2012

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	3
Termination	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 16 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/12/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/30/2025
B	Arizona	Agent	Approved	01/13/2022
B	California	Agent	Approved	11/12/2021
B	Colorado	Agent	Approved	04/01/2025
B	Florida	Agent	Approved	04/01/2025
B	Idaho	Agent	Approved	03/31/2025
B	Louisiana	Agent	Approved	04/01/2025
B	Michigan	Agent	Approved	09/19/2024
B	Minnesota	Agent	Approved	04/30/2025
B	Mississippi	Agent	Approved	11/23/2021
B	New York	Agent	Approved	03/31/2025
B	North Carolina	Agent	Approved	02/01/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	12/20/2021
B	Texas	Agent	Approved	11/12/2021
IA	Texas	Investment Adviser Representative	Approved	11/12/2021
B	Utah	Agent	Approved	04/17/2025
B	Washington	Agent	Approved	12/07/2021

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

24 WATERWAY AVE

STE 1400

THE WOODLANDS, TX 77380-3391

AMERIPRISE FINANCIAL SERVICES, LLC

The Woodlands, TX



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	04/13/1996
B General Securities Representative Examination	Series 7	12/18/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/13/1996
B Uniform Securities Agent State Law Examination	Series 63	01/09/1993

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 02/2012 - 11/2021	OPPENHEIMER & CO. INC.	249	THE WOODLANDS, TX
B 01/2012 - 11/2021	OPPENHEIMER & CO. INC.	249	THE WOODLANDS, TX
B 10/2007 - 02/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	THE WOODLANDS, TX
IA 10/2007 - 02/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	THE WOODLANDS, TX
B 11/2001 - 10/2007	UBS FINANCIAL SERVICES INC.	8174	THE WOODLANDS, TX
IA 11/2001 - 10/2007	UBS FINANCIAL SERVICES INC.	8174	THE WOODLANDS, TX
B 01/1993 - 12/2001	MORGAN STANLEY DW INC.	7556	PURCHASE, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	Ameriprise Financial Services LLC	Registered Rep	Y	The Woodlands, TX, United States
01/2012 - 11/2021	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	THE WOODLANDS, TX, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Business Ownership; Other; Other; 1855 Crane Ridge Drive, , Jackson, MS, 39216; Investment-Related; 01/01/1999; 0 hours per month; 0 during trading hours / Other; Other; 1855Crane Ridge Drive, , Jackson, MS, 39216; Investment-Related; 10/01/2021; 0 hours per month; 0 during trading hours.

Registration and Employment History



Other Business Activities, continued

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Michigan
Sanction(s) Sought:	Other: Notice of Intent to Deny, Condition, or Limit Securities Agent Registration Application
Date Initiated:	09/05/2018
Docket/Case Number:	337223
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	The Administrator intends to deny the securities agent registration application of Jesse Lynn Webb, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant engaged in dishonest or unethical behavior in the securities industry within the previous ten years, which supports the denial of his registration application under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 09/05/2018

Sanctions Ordered: Denial

Reporting Source: Broker

Regulatory Action Initiated By: MICHIGAN

Sanction(s) Sought: Other: NOTICE OF INTENT TO DENY, CONDITION, OR LIMITED SECURITIES AGENT REGISTRATION APPLICATION

Date Initiated: 09/05/2018

Docket/Case Number: 337223

Employing firm when activity occurred which led to the regulatory action: OPPENHEIMER & CO. INC.

Product Type: No Product

Allegations: The Administrator intends to deny the securities agent registration application of Jesse Lynn Webb, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant engaged in dishonest or unethical behavior in the securities industry within the previous ten years, which supports the denial of his registration application under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No



Resolution Date: 10/18/2018

Sanctions Ordered: Denial



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The Customer alleges unsuitable investment recommendations from 2008 to 2012.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages are not specified.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00167
Date Notice/Process Served:	10/30/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/12/2016
Monetary Compensation Amount:	\$35,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	This matter was settled in order to avoid the cost and uncertainty of litigation. The Financial Advisor did not contribute monetarily towards the settlement.

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CLAIMANT ALLEGES THAT FROM 2008 THROUGH THE PRESENT, THE REGISTERED REPRESENTATIVE TOOK ADVANTAGE OF CLAIMANT'S DISABILITY AND FRAUDULENTLY INDUCED HIM INTO MAKING UNSOUND INVESTMENTS AND CONVERTING HIS IRA TO A ROTH IRA.
Product Type:	No Product
Alleged Damages:	\$478,688.00
Alleged Damages Amount Explanation (if amount not exact):	IN ADDITION TO THE ABOVE AMOUNT, CLAIMANT ALLEGES DAMAGES SUFFERED DUE TO LOSSES IN SOCIAL SECURITY AND MEDICARE BENEFITS,
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00167
Date Notice/Process Served:	02/02/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/04/2016
Monetary Compensation Amount:	\$35,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	10/4/16 CASE AGAINST FA IS DISMISSED

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMERS ALLEGE UNAUTHORIZED TRADING AND MISREPRESENTATION REGARDING AUCTION RATE SECURITIES FROM



JUNE 2008 TO SEPTEMBER 2008.

Product Type: Other: AUCTION RATE SECURITIES**Alleged Damages:** \$2,500,000.00**Is this an oral complaint?** No**Is this a written complaint?** No**Is this an arbitration/CFTC reparation or civil litigation?** Yes**Arbitration/Reparation forum or court name and location:** FINRA**Docket/Case #:** 10-01707**Filing date of arbitration/CFTC reparation or civil litigation:** 04/09/2010**Customer Complaint Information****Date Complaint Received:** 04/26/2010**Complaint Pending?** No**Status:** Settled**Status Date:** 02/09/2011**Settlement Amount:** \$2,400,000.00**Individual Contribution Amount:** \$0.00**Disclosure 3 of 3****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**Allegations:** THE CUSTOMER ALLEGES MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS.**Product Type:** Other: AUCTION RATE SECURITIES**Alleged Damages:** \$3,500,000.00



Customer Complaint Information

Date Complaint Received: 04/27/2010

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 04/27/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-03605

Date Notice/Process Served: 06/23/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/10/2010

Monetary Compensation Amount: \$1,818,750.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: 270TH JUDICIAL DISTRICT COURT

Location of Court: HARRIS COUNTY, TEXAS

Docket/Case #: 200924295

Date Notice/Process Served: 04/27/2009

Litigation Pending? No

Disposition: Other: VOLUNTARILY REFILED AS ARBITRATION

Disposition Date: 06/23/2009



Broker Statement

ALLEGATIONS DENIED. THE MATTER WAS SETTLED TO AVOID THE
EXPENSES AND UNCERTAINTY OF LITIGATION.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Termination Type: Voluntary Resignation

Termination Date: 01/11/2012

Allegations: ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE ENGAGED IN A PURPORTED REAL ESTATE TRANSACTION OUTSIDE THE FIRM WITH A CLIENT WITHOUT MANAGEMENT'S PRIOR KNOWLEDGE OR CONSENT. ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE SUBSEQUENTLY SOLD THE SAME PROPERTY TO A THIRD PARTY AND KEPT THE EARNEST MONEY FROM THE SALE, DESPITE THE FACT THAT THE RR CLAIMED THE SUBSEQUENT SALE WAS FOR THE CLIENT'S BENEFIT.

Product Type: No Product

Reporting Source: Broker

Employer Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Termination Type: Voluntary Resignation

Termination Date: 01/11/2012

Allegations: ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE ENGAGED IN A PURPORTED REAL ESTATE TRANSACTION OUTSIDE THE FIRM WITH A CLIENT WITHOUT MANAGEMENT'S PRIOR KNOWLEDGE OR CONSENT. ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE SUBSEQUENTLY SOLD THE SAME PROPERTY TO A THIRD PARTY AND KEPT THE EARNEST MONEY FROM THE SALE, DESPITE THE FACT THAT THE RR CLAIMED THE SUBSEQUENT SALE WAS FOR THE CLIENT'S BENEFIT.

Product Type: No Product

End of Report



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