

## BrokerCheck Report

### JOSEPH ALAN SMALL

CRD# 3186417

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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.

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**JOSEPH A. SMALL**

CRD# 3186417

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

**B AMERIPRISE FINANCIAL SERVICES, LLC**  
 36 RAHLING CIR  
 STE 2  
 LITTLE ROCK, AR 72223-9187  
 CRD# 6363  
 Registered with this firm since: 03/22/1999

**IA AMERIPRISE FINANCIAL SERVICES, LLC**  
 36 RAHLING CIR  
 STE 2  
 LITTLE ROCK, AR 72223  
 CRD# 6363  
 Registered with this firm since: 04/09/1999

**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
- 36 U.S. states and territories

**This broker has passed:**

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

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

**B IDS LIFE INSURANCE COMPANY**  
 CRD# 6321  
 MINNEAPOLIS, MN  
 03/1999 - 07/2006

**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? **No**



## 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 36 U.S. states and territories through his or her employer.**

### Employment 1 of 1

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

Main Office Address: **707 2ND AVENUE SOUTH  
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	03/22/1999

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	08/15/2017
<b>B</b> Arizona	Agent	Approved	10/27/2005
<b>B</b> Arkansas	Agent	Approved	04/06/1999
<b>IA</b> Arkansas	Investment Adviser Representative	Approved	04/09/1999
<b>B</b> California	Agent	Approved	11/09/2007
<b>B</b> Colorado	Agent	Approved	12/10/2009
<b>B</b> Florida	Agent	Approved	12/12/2005
<b>B</b> Georgia	Agent	Approved	02/04/2011
<b>B</b> Illinois	Agent	Approved	08/07/2008
<b>B</b> Indiana	Agent	Approved	12/10/2009
<b>B</b> Kansas	Agent	Approved	10/08/2015
<b>B</b> Kentucky	Agent	Approved	06/25/2018



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	11/16/2009
B	Massachusetts	Agent	Approved	09/11/2019
B	Michigan	Agent	Approved	12/05/2019
B	Minnesota	Agent	Approved	03/23/2015
B	Mississippi	Agent	Approved	08/07/2008
B	Missouri	Agent	Approved	01/15/2002
B	Montana	Agent	Approved	06/11/2019
B	Nebraska	Agent	Approved	12/05/2019
B	Nevada	Agent	Approved	11/02/2007
B	New Jersey	Agent	Approved	07/29/2019
B	New Mexico	Agent	Approved	12/10/2009
B	New York	Agent	Approved	09/07/2022
B	North Carolina	Agent	Approved	01/25/2012
B	Ohio	Agent	Approved	03/28/2012
B	Oklahoma	Agent	Approved	03/12/2002
IA	Oklahoma	Investment Adviser Representative	Approved	01/05/2005
B	Oregon	Agent	Approved	06/20/2019
B	Pennsylvania	Agent	Approved	03/13/2012
B	South Carolina	Agent	Approved	07/11/2022
B	Tennessee	Agent	Approved	11/08/2002
B	Texas	Agent	Approved	07/24/2000



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	10/09/2006
B	Utah	Agent	Approved	12/23/2015
B	Virginia	Agent	Approved	06/25/2018
B	Washington	Agent	Approved	11/09/2015
B	Wisconsin	Agent	Approved	05/12/2010
B	Wyoming	Agent	Approved	05/01/2018

### Branch Office Locations

#### AMERIPRISE FINANCIAL SERVICES, LLC

36 RAHLING CIR  
STE 2  
LITTLE ROCK, AR 72223-9187

#### AMERIPRISE FINANCIAL SERVICES, LLC

4200 E SKELLY DR  
STE 1015  
TULSA, OK 74135-3241

#### AMERIPRISE FINANCIAL SERVICES, LLC

101 Dentista Dr Ste K  
Hot Springs Village, AR 71909



## 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.

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

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	03/19/1999

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/05/1999
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/29/1999

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/](http://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
<b>B</b> 03/1999 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

### 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
09/2005 - Present	Ameriprise Financial Services, Inc.	Registered Rep	Y	Little Rock, AR, 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.

Board of Directors; Men's Golf Association; board member; Little Rock, AR 72223; Not Investment Related; March 2021; 1-9 hours per month; 0 during trading hours. Other Business Activities; Oaktree Premier Management Services, LLC; Administrative services; Majority owner; Little Rock, AR 72223; Not Investment Related; January 2019; 1-9 hours per month; 0 during trading hours.

## End of Report



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