

## BrokerCheck Report

# JOHN JOSEPH KOLINOFSKY JR

CRD# 1988299

Report #82422-56389, data current as of Friday, September 25, 2015.

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## 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 <http://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.



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).

Thank you for using FINRA BrokerCheck.

**JOHN J. KOLINOFSKY JR**

CRD# 1988299

**Currently employed by and registered with the following Firm(s):****AMERIPRISE FINANCIAL SERVICES, INC.**

6860 N DALLAS PKWY  
STE 500  
PLANO, TX 75024-4253  
CRD# 6363

Registered with this firm since: 01/06/2011

**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
- 29 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****SOUTHWEST SECURITIES, INC.**

CRD# 6220  
PLANO, TX  
05/2003 - 01/2011

**PRUDENTIAL SECURITIES INCORPORATED**

CRD# 7471  
NEW YORK, NY  
07/1997 - 05/2003

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

CRD# 7691  
NEW YORK, NY  
09/1992 - 07/1997

**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**

**Investment Adviser Representative Information**

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <http://www.adviserinfo.sec.gov>



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

### Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, INC.**

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

Firm CRD#: **6363**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	01/06/2011
FINRA	General Securities Sales Supervisor	APPROVED	01/06/2011

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alaska	Agent	APPROVED	01/06/2011	Michigan	Agent	APPROVED	01/06/2011
Arizona	Agent	APPROVED	01/06/2011	Minnesota	Agent	APPROVED	09/11/2013
Arkansas	Agent	APPROVED	01/06/2011	Missouri	Agent	APPROVED	03/08/2011
California	Agent	APPROVED	01/06/2011	New Jersey	Agent	APPROVED	12/10/2012
Colorado	Agent	APPROVED	01/06/2011	New Mexico	Agent	APPROVED	01/06/2011
Connecticut	Agent	APPROVED	01/06/2011	New York	Agent	APPROVED	02/15/2011
Florida	Agent	APPROVED	01/06/2011	North Carolina	Agent	APPROVED	01/06/2011
Georgia	Agent	APPROVED	01/06/2011	Ohio	Agent	APPROVED	04/05/2011
Illinois	Agent	APPROVED	03/16/2011	Oklahoma	Agent	APPROVED	01/06/2011
Kansas	Agent	APPROVED	01/06/2011	Oregon	Agent	APPROVED	08/08/2011
Louisiana	Agent	APPROVED	06/26/2015	Pennsylvania	Agent	APPROVED	01/06/2011
Maryland	Agent	APPROVED	01/06/2011	Rhode Island	Agent	APPROVED	10/08/2013



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
South Carolina	Agent	APPROVED	10/24/2011
Texas	Agent	APPROVED	01/06/2011
Virginia	Agent	APPROVED	10/30/2013
Washington	Agent	APPROVED	09/25/2012
Wisconsin	Agent	APPROVED	01/06/2011

### Branch Office Locations

#### AMERIPRISE FINANCIAL SERVICES, INC.

6860 N DALLAS PKWY  
STE 500  
PLANO, TX 75024-4253

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

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	11/10/1997

### General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	08/17/1998
General Securities Representative Examination	Series 7	10/21/1989

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/01/1989
Uniform Investment Adviser Law Examination	Series 65	05/21/1998

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/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
05/2003 - 01/2011	SOUTHWEST SECURITIES, INC.	6220	PLANO, TX
07/1997 - 05/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
09/1992 - 07/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
07/1992 - 09/1992	T.L. SMITH SECURITIES	17978	
10/1989 - 07/1990	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, 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 Dates	Employer Name	Employer Location
01/2011 - Present	AMERIPRSE FINANCIAL SERVICES	PLANO, TX
05/2003 - 01/2011	SOUTHWEST SECURITIES INC.	DALLAS, TX

### 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.

REAL ESTATE OWNERSHIP; LOT/LAND; VOSS, TEXAS 76888; NOT INVESTMENT RELATED; MAY 2006/ SINGLE FAMILY; DALLAS, TEXAS 75254; NOT INVESTMENT RELATED; FEBRUARY 2014.  
OTHER BUSINESS ACTIVITIES; THE PROPERTY AT 5616 PRESTON OAKS DR; LLC; CONDOMINIUM RENTAL; PRESIDENT OF LLC; DALLAS, TEXAS; NOT INVESTMENT RELATED; MAY 2015; 1-9 HOURS PER MONTH.

## End of Report



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