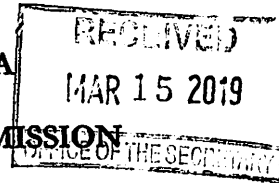


UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION



ADMINISTRATIVE PROCEEDING
File No. 3-18780

In the Matter of

JENNIFER R. JOHNSON

Respondent.

**DIVISION OF ENFORCEMENT'S MOTION FOR DEFAULT JUDGMENT
AND IMPOSITION OF SANCTIONS AGAINST RESPONDENT**

The Division of Enforcement ("Division"), pursuant to Rules 155(a) and 220(f) of the U.S. Securities and Exchange Commission's Rules of Practice and for the reasons set forth below and the Declaration of H. Norman Knickle (the "Knickle Decl."), respectfully moves the Commission for the entry of a default judgment and the imposition of sanctions against Respondent Jennifer R. Johnson.

MEMORANDUM IN SUPPORT

In May 2017, Johnson was convicted of one count of theft-by-swindle and one count of attempted theft-by-swindle before the District Court of the State of Minnesota, Ramsey County. *See State of Minnesota v. Jennifer Rebecca Johnson*, Case No. 62-CR-16-7465. Based on Johnson's criminal convictions, on September 18, 2018, the Commission issued an Order Instituting Administrative Proceedings pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940, and Notice of Hearing (the "OIP"). Johnson was served with the OIP on or before September 22, 2018, almost five months ago, but she has not filed an answer. And, she has recently

informed Division staff that she does not intend to defend this action. Accordingly, pursuant to Rules 155(a) and 220(f) of the Commission's Rules of Practice, the Division submits that default judgment is appropriate, the Commission may deem true the uncontested allegations in the OIP, and sanctions should be imposed.

I. PROCEDURAL HISTORY

The Commission issued the OIP in this matter on September 18, 2018. The Commission's Office of the Secretary served Johnson by certified mail, a manner of service that is specifically authorized by the Commission's Rules of Practice. *See* Rule 141(a)(2)(i). The U.S. Postal Service's online tracking system indicates that the OIP was delivered to Johnson on September 22, 2018. *See* Declaration of Stephan J. Schlegelmilch to Assist Secretary with Record of Service ("Schlegelmilch Decl.") at ¶ 3 and Attachment 1.¹ Pursuant to the Commission's Rules of Practice, Johnson's Answer to the OIP was due on or before October 12, 2018, twenty (20) days from the service of the OIP. *See* Rule 220(b). However, as of the date of this Motion, she has not filed an Answer. *See* Knickle Decl. at ¶ 3. She has also informed the Division staff that she does not intend to answer or otherwise defend this action. *See id.* at ¶ 4.

II. FACTUAL BACKGROUND

Because Johnson has not timely answered, the Commission may deem true the allegations in the OIP. *See* Commission's Rules of Practice, Rule 155(a). Moreover, the Commission should accept as true the facts and legal conclusions underlying Johnson's convictions. *See Kornman v. SEC*, 592 F.3d 173, 187 (DC Cir. 2010) (affirming the Commission's reliance on the respondent's guilty plea when assessing sanctions).

¹ This declaration was filed with the Office of the Secretary on October 22, 2018.

Johnson resides in South St. Paul, Minnesota. Between 2009 and 2016, she was employed as a registered representative of Ameriprise Financial Services, Inc. (“Ameriprise”). See Knickle Decl. at ¶ 5 and Attachment 1 (Web CRD); OIP at ¶ 1. Ameriprise is a broker-dealer and investment adviser registered with the Commission. See OIP at ¶ 1.

On March 15, 2017, Johnson entered an *Alford* plea and was found guilty of two felonies in the District Court for the State of Minnesota, Ramsey County – one count of theft-by-swindle and one count of attempted theft-by-swindle. See Knickle Decl. at ¶¶ 6-7 and Attachment 2 (Mar. 15, 2017 Plea Hearing); OIP at ¶ 2. When pleading guilty, Johnson admitted that the State would have evidence sufficient to prove that these charges were the result of Johnson’s effort to transfer money from one of her investment advisory client’s accounts to another account that Johnson controlled. See Knickle Decl. at ¶ 7 and Attachment 2 (Mar. 15, 2017 Plea Hearing); OIP at ¶ 3. On May 8, 2017, Johnson was sentenced to, *inter alia*, five days custody in the Ramsey County Correctional Facility, with credit for time served, and restitution in the amount of \$23,615.77. See Knickle Decl. at ¶ 8 and Attachment 3 (Sentencing Order).

III. ARGUMENT

Johnson has not filed an Answer to the Commission’s OIP, despite the passage of five months, and the Commission should find her in default. Additionally, because the conduct described in the OIP and to which Johnson has admitted is egregious, the Division submits that sanctions are also appropriate.

A. The Entry of a Default Judgment is Appropriate.

Johnson received service of the OIP in this matter on September 22, 2018. See Schlegelmilch Decl. at ¶ 3. Her answer was, therefore, due on or before October 12, twenty

days after service. *See* Commission Rules of Practice, Rule 220(b); *see also* OIP at § IV (“IT IS FURTHER ORDERED that Respondent shall file an Answer to the allegations contained in this Order within twenty (20) days after service of this Order.”). As of the date of this Motion, Johnson has not filed an answer or otherwise defended this action. *See* Knickle Decl. at ¶¶ 3-4.

Commission Rule of Practice 155(a) provides that “[a] party to a proceeding may be deemed to be in default and the Commission or the hearing officer may determine the proceeding against that party upon consideration of the record, including the order instituting proceedings, the allegations of which may be deemed to be true, if that party fails . . . [t]o answer, to respond to a dispositive motion within the time provided, or otherwise to defend the proceeding.” Here, because Johnson has failed to “answer . . . or otherwise to defend the proceeding,” the Division submits that a Default Judgment should be entered against her, as is specifically contemplated by the Commission’s Rules of Practice. *See* Rules 155(a) and 220(f).

B. Securities Exchange Act Section 15(b) and Investment Advisers Act Section 203(f) Sanctions are Appropriate.

Exchange Act 15(b)(6)(A)(ii) authorizes the Commission to impose a permanent broker-dealer bar and penny stock bar against a respondent if at the time of the alleged misconduct, the individual was associated with a broker-dealer, was convicted of any of the offenses enumerated in the statute (which specifically includes “theft” and “misappropriation of funds”²), and it is in the public interest. *See* 15 U.S.C. § 78o(b)(6)(A)(ii). Similarly, Investment Advisers Act Section 203(f) authorizes the Commission to bar an individual “associated, seeking to become associated, or, at the time

² *See* 15 U.S.C. § 78o(b)(4)(B)(iii).

of the alleged misconduct, associated or seeking to become associated with an investment adviser . . . from being associated with an investment adviser, broker, dealer, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization, if the Commission finds, on the record after notice and opportunity for hearing, that such . . . bar is in the public interest and that such person has committed or omitted any act or omission enumerated in [the statute] within ten years of the commencement of the proceedings.” 15 U.S.C § 80b-3(f).³

To determine the duration of a bar, the Commission considers the public interest factors discussed in *Steadman*, which include:

the egregiousness of the respondent’s actions, the isolated or recurrent nature of the infraction, the degree of scienter involved, the sincerity of the respondent’s assurances against future violations, the respondent’s recognition of the wrongful nature of his conduct, and the likelihood that the respondent’s occupation will present opportunities for future violations.

Steadman v. SEC, 603 F.2d 1126, 1140 (5th Cir. 1979), *aff’d on other grounds*, 450 U.S. 91 (1981) (quoting *SEC v. Blatt*, 583 F.2d 1325 at 1334 n.29 (5th Cir. 1978)). The Commission also considers the deterrent effect of administrative sanctions. *In The Matter Of David R. Wulf*, Exchange Act Release No. 77411, 2016 WL 1077411, at *4 (Mar. 21, 2016) (applying *Steadman* factors). This public interest inquiry is “flexible, and no one factor is dispositive.” *Id.*; see also *In the Matter of Allen M. Perres*, Securities Act Release No. 10287, 2017 WL 280080 (Jan. 23, 2017), *petition denied*, 695 F. App’x 980 (7th Cir. 2017); *David Henry Disraeli*, Exchange Act Release No. 57027, 2007 WL 4481515, at *15 (Dec. 21, 2007), *petition denied*, 334 F. App’x 334 (D.C. Cir. 2009) (per curiam), *cert. denied*, 559 U.S. 1008 (2010).

³ Again, the statute specifically enumerates “theft” and “misappropriation of funds.” See 15 U.S.C. 80b-3(e)(2)(C).

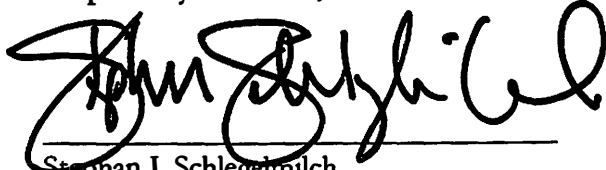
Here, the Division submits that permanent bars are in the public interest. Johnson does not dispute that her former employer, Ameriprise, was a registered broker-dealer and investment adviser, *see* OIP ¶ 1, nor can she dispute that her criminal conviction was premised upon conduct occurring during and as a result of such employment. *See* Knickle Decl. at ¶¶ 6-7 and Attachment 2 (Mar. 15, 2017 Plea Hearing). Given Johnson's failure to refute the allegations in the OIP and the egregiousness of Johnson's offenses, discussed above, the Division submits that, pursuant to Exchange Act Section 15(b) and Investment Advisers Act Section 203(f), it is in the public interest that the Commission enter an Order permanently barring Johnson from associating with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization and from participating in any offering of a penny stock, including acting as a promoter, finder, consultant, agent or other person who engages in activities with a broker, dealer or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock.

IV. CONCLUSION

For the reasons set forth above, the Division requests that the Commission find Johnson in default and impose sanctions pursuant to Exchange Act 15(b) and Investment Advisers Act 203(f).

Dated: March 15, 2019

Respectfully submitted,

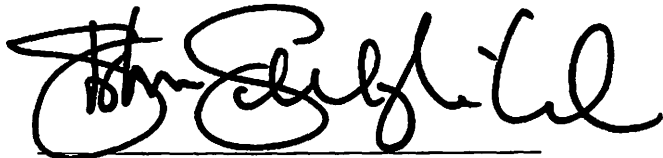


Stephan J. Schlegelmilch
Division of Enforcement
U.S. Securities and Exchange Commission
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Washington, DC 20549
202.551.4935 (Schlegelmilch)
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Counsel for Division of Enforcement

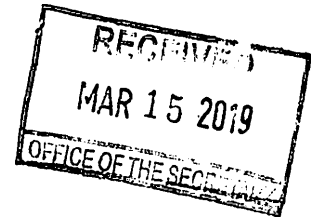
CERTIFICATION OF COMPLIANCE WITH RULE 154(c)

I hereby certify that the foregoing brief is fewer than fifteen (15) pages and that the Division has, therefore, complied with Rule 154(c) of the Commission's Rules of Practice.



Counsel for Division of Enforcement

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION



ADMINISTRATIVE PROCEEDING
File No. 3-18780

In the Matter of

JENNIFER R. JOHNSON

Respondent.

DECLARATION OF H. NORMAN KNICKLE

H. Norman Knickle, pursuant to 28 U.S.C. § 1746, declares as follows:

1. I am a Senior Counsel with the Securities and Exchange Commission's Division of Enforcement ("Division"), and I am co-counsel for the Division in the above-captioned administrative proceeding. I am submitting this Declaration in support of the Division's Motion for Default Judgment and Imposition of Sanctions Against Respondent Jennifer R. Johnson.
2. Respondent Johnson was served with a copy of the Commission's Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940, and Notice of Hearing (the "OIP") on September 22, 2018.
3. As of the date of this Declaration, Respondent Johnson has not filed an Answer to the OIP.
4. On March 15, 2019 Respondent Johnson contacted me by telephone and indicated that she does not intend to file an answer or defend the OIP. She also stated that she has no intention to be in the securities industry "in any capacity."

5. Between October 30, 2009 and February 19, 2016, Respondent Johnson was registered with the Financial Industry Regulatory Authority (FINRA) as a registered representative of a broker-dealer, Ameriprise Financial Services, Inc. (CRD#6363). A true and accurate copy of the Registrations Summary from FINRA's central registration depository, Web CRD, for Respondent Johnson (CRD# 2668325), which the Division staff obtained from FINRA's Web CRD, is attached hereto as **Attachment 1**.

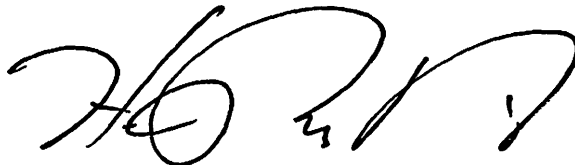
6. Based on the Transcript of Proceedings for the District Court for the District Court for the State of Minnesota, Ramsey County, Johnson pled guilty to one count of theft-by-swindle and one count of attempted theft-by-swindle, a true and accurate copy is attached hereto as **Attachment 2** (Mar. 15, 2017 Plea Hearing).

7. According to the March 15, 2017 Plea Hearing attached hereto as **Attachment 2**, Johnson admitted that the State would have evidence sufficient to prove that these charges were the result of Johnson's effort to transfer money from one of her investment advisory client's accounts to another account that Johnson controlled.

8. On May 8, 2017, Johnson was sentenced to, *inter alia*, five days custody in the Ramsey County Correctional Facility, with credit for time served, and restitution in the amount of \$23,615.77 based on the Sentencing Order, a true and accurate copy is attached hereto as **Attachment 3**.

I declare under penalty of perjury that the foregoing is true and correct.

Dated: March 15, 2019



H. Norman Knickle
Division of Enforcement
U.S. Securities and Exchange Commission
100 F Street, N.E.
Washington, DC 20549


CERTIFICATE OF SERVICE

I hereby certify that a true copy of the foregoing was served on the following, this 15th day of March 2019, in the manner indicated below:

By U.S. mail:

Jennifer R. Johnson

South St. Paul, MN



Counsel for Division of Enforcement

Attachment 1



Investment Adviser Representative Public Disclosure Report

JENNIFER REBECCA JOHNSON

CRD# 2668325

Report #96844-14098, data current as of Friday, March 15, 2019.

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



IAPD Information about Investment Adviser Representatives

IAPD offers information on all current-and many former-Investment Adviser Representatives. Investors are strongly encouraged to use IAPD to check the background of Investment Adviser Representatives before deciding to conduct, or continue to conduct, business with them.

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

- IAPD reports for individual Investment Adviser Representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

-

- It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

-

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

- The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD®, (see more on CRD below) and is a combination of:

-

- information the states require Investment Adviser Representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against Investment Adviser Representatives.
-

- **How current is this information?**

- Generally, Investment Adviser Representatives are required to update their professional and disciplinary information in IARD within 30 days.

-

- **Need help interpreting this report?**

- For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>.

-

- **What if I want to check the background of an Individual Broker or Brokerage firm?**

- To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

-

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

- It is recommended that you learn as much as possible about an individual Investment Adviser Representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>.



Investment Adviser Representative Report Summary

JENNIFER REBECCA JOHNSON (CRD# 2668325)

The report summary provides an overview of the Investment Adviser Representative's professional background and conduct. The information contained in this report has been provided by the Investment Adviser Representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the Investment Adviser Representative, a previous employing firm, or a securities regulator on 09/25/2018.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This Investment Adviser Representative was previously registered with the following Investment Adviser firms:

FIRM (IARD#) - LOCATION	REGISTRATION DATES
AMERIPRISE FINANCIAL SERVICES, INC. (IARD# 6363) - ST PAUL, MN	12/10/2013 - 03/01/2016

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this Investment Adviser Representative? **Yes**

The following types of events are disclosed about this Investment Adviser Representative:

Type	Count
Regulatory Event	2
Criminal	1
Customer Dispute	1
Termination	1



Investment Adviser Representative Qualifications

REGISTRATIONS

This section provides the states and U.S. territories in which the Investment Adviser Representative is currently registered and licensed, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the Investment Adviser Representative is currently employed, the address of each location where the Investment Adviser Representative works.

This individual is not currently registered as an Investment Adviser Representative.



Investment Adviser Representative Qualifications

PASSED INDUSTRY EXAMS

This section includes all required state securities exams that the Investment Adviser Representative has passed. Under limited circumstances, an Investment Adviser Representative may attain registration after receiving an exam waiver based on a combination of exams the Investment Adviser Representative has passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on an Investment Adviser Representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed the following exams:

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	07/09/2004

PROFESSIONAL DESIGNATIONS

This section details that the Investment Adviser Representative has reported 0 professional designation(s).

No information reported.



Investment Adviser Representative Registration and Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative previously held registrations with the following firms:

Registration Dates	Firm Name	IARD#	Branch Location
12/10/2013 - 03/01/2016	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ST PAUL, MN

EMPLOYMENT HISTORY

Below is the Investment Adviser Representative's employment history for up to the last 10 years.

Please note that the Investment Adviser Representative is required to provide this information only while registered and the information is not updated after the Investment Adviser Representative ceases to be registered, with a state regulator. Therefore, an employment end date of "Present" may not reflect the Investment Adviser Representative's current employment status.

Employment Dates	Employer Name	Employer Location
10/2009 - Present	AMERIPRISE FINANCIAL SERVICES INC	ST PAUL, MN
05/2004 - 10/2009	EDWARD JONES	ST. LOUIS, MO

OTHER BUSINESS ACTIVITIES

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

No information reported.



Investment Adviser Representative Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this Investment Adviser Representative:

Type	Count
Regulatory Event	2
Criminal	1
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Other: n/a

Date Initiated: 09/18/2018

Docket/Case Number: 3-18780

Employing firm when activity occurred which led to the regulatory action: Ameriprise Financial Services, Inc.

Product Type: Other: funds

Allegations: SEC Admin Release 34-84181, IA Release 40-5036 / September 18, 2018: The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 15(b) of the Securities Exchange Act of 1934 ("Exchange Act") and Section 203(f) of the Investment Advisers Act of 1940 ("Advisers Act") against Jennifer R. Johnson ("Respondent" and "Johnson"). The Division of Enforcement alleges that On May 8, 2017 Johnson was convicted of one count of Theft-By-Swindle and one count of Attempted Theft-By-Swindle before the District Court of the State of Minnesota, Ramsey County, in State of Minnesota v. Jennifer Rebecca Johnson, Case Number: 62-CR-16-7465. Each count was classified as a felony for purposes of the level of sentence. She was sentenced to a prison term of five days, 60 hours of community service, and two years and six months of supervised probation and ordered to make restitution in the amount of \$23,615.77 plus \$186 in fines and fees. The criminal complaint to which Johnson was convicted, alleged, inter alia, that



Johnson used her position as a financial advisor to transfer or attempt to transfer funds from customer accounts to an account she controlled and by doing so did obtain possession of property or services from another person of a value more than \$5,000, by means of swindle all in violation of Minnesota Statute: § 609.52. 2(a)(4). The factual allegations set forth in the criminal complaint were conducted while Johnson was associated with Ameriprise.

Current Status: Pending

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	01/23/2017
Docket/Case Number:	2016049086201
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Johnson failed to respond to FINRA request for information.
Current Status:	Final
Resolution:	Letter
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:	04/26/2017
Sanctions Ordered:	Bar (Permanent)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 2

Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	Indefinite
Start Date:	04/26/2017



End Date:

Sanction 2 of 2

Sanction Type:

Suspension

Capacities Affected:

Any capacity

Duration:

N/A

Start Date:

02/16/2017

End Date:

04/25/2017

Regulator Statement

Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated January 23, 2017 and February 16, 2017, respectively, on April 26, 2017, Johnson is barred from association with any FINRA member in any capacity. Respondent failed to request termination of her suspension within three months of the date of the Notice of Suspension; therefore, she is automatically barred from association with any FINRA member in any capacity.

**Criminal**

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Regulator
Formal Charges were brought in:	State Court
Name of Court:	District Court of the State of Minnesota
Location of Court:	Ramsey County, MN
Docket/Case #:	62-CR-16-7465
Charge Date:	10/18/2016
Charge(s) 1 of 3	
Formal Charge(s)/Description:	Theft-By Swindle
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	not guilty
Disposition of charge:	Dismissed
Charge(s) 2 of 3	
Formal Charge(s)/Description:	Attempted Theft-By Swindle
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	guilty
Disposition of charge:	Pled guilty
Charge(s) 3 of 3	
Formal Charge(s)/Description:	Theft-By Swindle
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	guilty
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	05/08/2017
Disposition Date:	05/08/2017
Sentence/Penalty:	On May 8, 2017 Johnson was convicted of one count of Theft-By-Swindle and one count of Attempted Theft-By-Swindle. Johnson was sentenced to a prison term of five days, 60 hours of community service, and five years of supervised probation and ordered to make restitution in the amount of \$23,615.77.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Inc.
Allegations:	Client alleges he made an investment outside the Firm in October & November 2014 at the recommendation of the advisor, but has not received expected return.
Product Type:	Other: Brokerage
Alleged Damages:	\$21,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/24/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2016
Settlement Amount:	\$23,615.77
Individual Contribution Amount:	\$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	Ameriprise Financial Services, Inc.
Termination Type:	Discharged
Termination Date:	02/19/2016
Allegations:	Advisor was terminated while under review for company policy violations related to commingling funds and pre-signed forms.
Product Type:	Other: Brokerage



End of Report

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Attachment 2

STATE OF MINNESOTA

DISTRICT COURT

COUNTY OF RAMSEY

SECOND JUDICIAL DISTRICT

State of Minnesota,)	
)	
Plaintiff,)	PLEA HEARING
)	
vs.)	Court File No.
)	62-CR-16-7465
)	
Jennifer Rebecca Johnson,)	March 15, 2017
)	1:00 p.m.
Defendant.)	
)	

TRANSCRIPT OF PROCEEDINGS

The above-entitled matter came on for hearing before the Honorable Nicole J. Starr, District Court Judge, at the Ramsey County Courthouse, City of St. Paul, State of Minnesota.

APPEARANCES:

LEE ATAKPU, Assistant Ramsey County Attorney, appeared on behalf of the State of Minnesota.

MARK ARNESON, Esq., Attorney at Law, appeared with and on behalf of the Defendant.

CARRIE HENDRICKS, Esq., Judicial Law Clerk.

* * * * *

COPY

1 (WHEREUPON, the following proceedings were duly
2 had:)

3 THE CLERK: Calling from page one, line
4 one; Jennifer Johnson.

5 THE COURT: And, Ms. Johnson, good
6 afternoon.

7 THE DEFENDANT: Hi.

8 THE COURT: Appearances, please.

9 MR. ATAKPU: Good morning -- or good
10 afternoon, Your Honor. Lee Atakpu, Assistant Ramsey
11 County Attorney.

12 MR. ARNESON: And Mark Arneson,
13 A-R-N-E-S-O-N, appearing on behalf of Ms. Johnson,
14 who stands before Your Honor.

15 THE COURT: All right. And it's my
16 understanding the parties have come to a resolution.
17 This matter was on call for trial. We are working
18 through our trial calendar and I did anticipate
19 hopefully being done with the case we started maybe
20 even by tomorrow. But there is a resolution in this
21 case?

22 MR. ARNESON: Correct. Would you like me
23 to put on it on the record?

24 THE COURT: Yes, please.

25 MR. ARNESON: Ms. Johnson will be pleading

1 guilty to counts one and three. This will be an
2 Alford plea. Count 2 would be dismissed, there will
3 be a stay of imposition, and the state's requesting
4 a 30-day cap on jail. This is all conditioned upon
5 Ms. Johnson having no prior felonies. Restitution,
6 if any, relating to all three charges. If this were
7 to be a commit, it would be at the low end of the
8 box. And all remaining terms of the sentence will
9 be determined by Your Honor.

10 MR. ATAKPU: That's correct, Your Honor.

11 THE COURT: And, Ms. Johnson, is that your
12 understanding of the agreement?

13 THE DEFENDANT: Yes.

14 THE COURT: And have you had enough time
15 to speak with Mr. Arneson?

16 THE DEFENDANT: Yes.

17 THE COURT: Has he answered all of your
18 questioned?

19 THE DEFENDANT: Yes.

20 THE COURT: And are you thinking clearly
21 today?

22 THE DEFENDANT: Yes.

23 THE COURT: Is anyone forcing you into
24 this agreement?

25 THE DEFENDANT: No.

1 THE COURT: And Mr. Johnson -- or
2 Mr. Arneson's explained to you what an Alford plea
3 is; is that right?

4 THE DEFENDANT: Yes.

5 THE COURT: And you understand that you
6 will maintain your plea of not guilty, but I will
7 ask you if you're entering, essentially, an Alford
8 plea. So you'll be arraigned and we'll ask how you
9 plead and you may indicate that you're pleading --
10 that it's a guilty plea via Alford plea. Does that
11 make sense?

12 THE DEFENDANT: Yes.

13 THE COURT: So even though I'm having you
14 say guilty, you understand this is sort of a
15 function of this procedure?

16 THE DEFENDANT: Yes.

17 THE COURT: All right. Well, then what
18 we'll do first is we'll have you sworn in at this
19 point and arraigned.

20 THE CLERK: Please raise your right hand.
21 Do you swear or affirm that the testimony you give
22 here will be the truth?

23 THE DEFENDANT: Yes.

24 THE CLERK: Thank you. You may lower your
25 hand. Please state and spell your name for the

1 record.

2 THE DEFENDANT: Jennifer Rebecca Johnson;
3 J-E-N-N-I-F-E-R, R-E-B-E-C-C-A, J-O-H-N-S-O-N.

4 THE CLERK: And please state your date of
5 birth.

6 THE DEFENDANT: [REDACTED] -- 1973.

7 THE CLERK: Thank you. How do you,
8 Jennifer Johnson, answer to the complaint of the
9 Ramsey County Attorney charging you with the offense
10 of theft by swindle occurring on or about
11 October 14th, 2014, in the County of Ramsey; guilty
12 or not guilty?

13 THE DEFENDANT: Guilty by Alford plea.

14 THE COURT: That's correct.

15 THE CLERK: And how do you answer to the
16 complaint of the Ramsey County Attorney charging you
17 with the offense of attempted theft by swindle
18 occurring on or about October 14th, 2014; guilty or
19 not guilty?

20 THE DEFENDANT: Guilty by Alford plea.

21 THE CLERK: Thank you.

22 THE COURT: And why don't we go through
23 this petition and then we'll talk about some of the
24 other pieces that are important to an Alford plea.
25 Counsel?

1 MR. ARNESON: Thank you, Your Honor.

2 BY MR. ARNESON:

3 Q. Ms. Johnson, I'm showing you a document entitled
4 Petition to Enter a Plea of Guilty In a Felony Case
5 Pursuant to Rule 15; do you recognize this document?

6 A. Yes.

7 Q. And did we go through the document line by line
8 prior to the hearing today?

9 A. Yes.

10 Q. As I flip it over, is that your signature on the
11 bottom of the page?

12 A. Yes.

13 Q. And you signed it for today's date, correct?

14 A. Yes.

15 Q. Now, you understand that this document contains, and
16 you understand that by pleading guilty you give up,
17 a number of constitutional rights?

18 A. Yes.

19 Q. We talked about one of the most important
20 constitutional rights is your right to a trial,
21 correct?

22 A. Yes.

23 Q. You understand that you could have a trial in this
24 matter in front of a judge sitting alone or a jury
25 of 12 persons, correct?

1 A. Yes.

2 Q. You understand at the trial of a jury trial, all 12
3 would have to agree that you were guilty in order to
4 be found guilty?

5 A. Yes.

6 Q. You understand in order to prove your guilt, the
7 state would have to have witnesses testify against
8 you in open court and we would have the right to
9 confront and cross examine those witnesses?

10 A. Yes.

11 Q. You understand that you would have the right to
12 bring witnesses in to testify on your behalf?

13 A. Yes.

14 Q. All right. You also understand that you would have
15 the right to remain silent at a trial. And if you
16 chose to remain silent, neither the judge nor the
17 prosecutor could comment on your silence to the
18 jury?

19 A. Yes.

20 Q. You also understand that you would have the right to
21 testify at a trial?

22 A. Yes.

23 Q. All right. You understand that this could -- this
24 conviction could be used against you should you ever
25 be charged in the future with another crime,

1 correct?

2 A. Yes.

3 Q. And we talked about how Minnesota has sentencing
4 guidelines, things like that, and consequences get
5 more severe the more crimes you are charged with,
6 correct?

7 A. Yes.

8 Q. As you appear here today, are you of clear head?

9 A. Yes.

10 Q. You understand everything that's going on?

11 A. Yes.

12 Q. And you understand what this Alford plea is all
13 about, correct?

14 A. Yes, I do.

15 Q. Do you have any questions of me at this point in
16 time about your rights?

17 A. No.

18 Q. Would you like me to offer this plea petition to Her
19 Honor in support of your plea?

20 A. Yes.

21 MR. ARNESON: I'd offer the petition, Your
22 Honor.

23 MR. ATAKPU: No objection from the state,
24 Your Honor.

25 THE COURT: You may approach. And then

1 any questions for me, Ms. Johnson, about any of the
2 rights that you and your attorney went through?

3 THE DEFENDANT: No.

4 THE COURT: And your petition is received.
5 Now, let me make sure you understand what's going on
6 here. You've had a chance to review the complaint,
7 police reports, and any of the other documents in
8 this disclosure that your attorney has, right?

9 THE DEFENDANT: Yes.

10 THE COURT: And you understand that's all
11 of the information the prosecutor has in his file?

12 THE DEFENDANT: Yes.

13 THE COURT: And I'll have the prosecutor
14 explain if we were to go to trial what would happen.
15 But why don't we have, Mr. Atakpu, if we were to go
16 to trial, would you summarize what the witnesses
17 would testify to and the evidence you expect to
18 present.

19 MR. ATAKPU: Certainly, Your Honor. The
20 state would start with an investigator or special
21 agent from the Department of Commerce who would
22 testify that she met with Ameriprise investigators
23 who had been told by one of Ms. Johnson's clients,
24 Elsie Johnson, that money had been transferred from
25 her account to Ms. Johnson's account without her

1 authorization. The testimony of both Ameriprise and
2 Ms. Johnson would be that she signed a blank cash
3 distribution form and that at a later time, without
4 knowing where that money was being transferred to,
5 that that money was attempted to be transferred from
6 her account with Ameriprise to an account owned by
7 Johnson Builders, which is a company that
8 Ms. Johnson, the defendant, is a co-signer of the
9 account, giving her the ability to withdraw a
10 deposit or transfer funds.

11 They would also testify -- the Department
12 of Commerce would also testify that they spoke to
13 Ms. Johnson and that she -- I'm sorry that -- yeah,
14 when they spoke to Ms. Johnson, that she indicated
15 that the money was -- that the money was -- or I'm
16 sorry -- that Ameriprise would testify that when the
17 money was transferred from Ms. Johnson's -- Elsie
18 Johnson's account to Johnson Builders that it was
19 done so by mistake. That she told Ms. Johnson that
20 it was done by mistake, that she told Ameriprise
21 investigators that she did it -- I'm sorry -- that
22 it was done by mistake from the home office. So not
23 a mistake made by Ms. Johnson, but a mistake made by
24 the home office, was her direct quote. And that but
25 when she told Ameriprise investigators, they were

1 informed that it was because she was on some
2 medication due to some surgery.

3 Ameriprise investigators would also
4 testify that Ms. Johnson had made notes in her
5 Ameriprise account and Ms. Johnson -- in Elsie
6 Johnson's account -- stating that the money was
7 being transferred due to some remodeling work that
8 was being done at Elsie Johnson's home. Elsie
9 Johnson would deny. She would also testify she
10 would deny that this was a fact. She would state
11 that she didn't have any agreement for any such
12 transaction.

13 So the state would show, through testimony
14 of the witnesses, and through evidence documented by
15 Ameriprise that Ms. Johnson told many different
16 versions of stories of where this money and why this
17 money was transferred. Most importantly, Ms. Elsie
18 Johnson would testify that she did not authorize or
19 did not expect that her money would be transferred
20 to the Johnson Builders account.

21 With respect to Mr. Dullinger, he would --
22 Ameriprise investigators and the Department of
23 Commerce would testify that two margin loans were
24 taken out in his name and secured by his Ameriprise
25 accounts. That the money was distributed again via

1 check to the Johnson Builders account. That
2 Mr. Dullinger was told by -- or would testify that
3 Ms. Johnson told him that this money was going
4 towards the Johnson investment.

5 She -- Ameriprise would testify that
6 Ms. Johnson told them that the money was for some
7 work that her -- that Johnson Builders was doing for
8 Mr. Dullinger, so a second story. And then the
9 Department of Commerce would testify that
10 Ms. Johnson purported even a third story, which was
11 that the money was for a loan towards -- to
12 Ms. Johnson from Mr. Dullinger.

13 The Department of Commerce would also
14 testify, and the state would admit evidence, that
15 would show that Ms. Johnson had, in fact, not had
16 any type of agreement -- documented agreement with
17 Mr. Dullinger until after the transaction had
18 occurred and after she had, in fact, been charged
19 with this crime. However, Mr. Dullinger, who did
20 sign a document after two years later and after
21 Ms. Johnson was charged, would state that he didn't
22 know what the document was saying. He didn't
23 understand what the document was saying. And that
24 Ms. Johnson came to his home and asked him to sign
25 the document because otherwise she would get in

1 trouble with the law.

2 THE COURT: All right. And the amounts
3 alleged to have been -- or the amounts taken?

4 MR. ATAKPU: With respect to the two
5 transactions for Mr. Dullinger: The first, which
6 occurred on October 14th, 2014, was a margin loan in
7 the amount of \$15,000. With -- and then another
8 margin loan that was taken out against
9 Mr. Dullinger's account in the amount of \$6,000.
10 That was done on November 26th, 2014. And then the
11 third transaction occurred on February 9th, 2016.
12 That was an attempted transaction. Ms. Johnson, the
13 defendant, had taken -- had attempted to wire \$5,000
14 from Elsie Johnson's Ameriprise account to Johnson
15 Builder's account.

16 I should also note that each of these
17 witnesses would testify to the fact that
18 Ms. Dullinger -- or Ms. Johnson was doing all this
19 while she was an Ameriprise adviser and that her
20 office was located at 420 Summit Avenue in St. Paul,
21 Ramsey County.

22 THE COURT: All right. And, Ms. Johnson,
23 you agree that if this information were presented to
24 a jury, that a jury would have sufficient
25 information and applying the standard of beyond a

1 reasonable doubt would find you guilty of the
2 offenses of theft by swindle and also attempted
3 theft by swindle; is that correct?

4 THE DEFENDANT: Yes.

5 THE COURT: And you're entering this plea
6 of guilty to obtain the benefit of any plea bargain,
7 that being that the state is dismissing a charge,
8 they're agreeing to a stay of imposition, you and
9 your attorney will be arguing for other things at
10 sentencing; is that right?

11 THE DEFENDANT: Mm-hmm.

12 THE COURT: Is that yes?

13 THE DEFENDANT: Yes.

14 THE COURT: All right. Well, then based
15 on your answers I find that you've acknowledged that
16 there is a substantial likelihood that a jury would
17 convict you if they heard this information for both
18 counts. That you understand what you're doing, you
19 understand the process. You've had time to consult
20 with a lawyer and review all the information against
21 you. And, so, I will find that you've given a
22 knowing, voluntarily, and intelligent waiver of your
23 trial rights, you've provided sufficient agreement
24 based on the factual basis presented to support an
25 Alford plea, or a plea of guilty where you maintain

1 your innocence but understand that the state could
2 prove, if held to their burden in front of a jury,
3 your guilt. What we'll do is we'll set your case
4 for a sentencing date. And that date?

5 THE CLERK: May 8th at 1:30 p.m., back in
6 this courthouse, in front of Your Honor.

7 THE COURT: You'll have a Pre-Sentence
8 Investigation so I can learn a little more about
9 you, anything else that's going on in your life.
10 Your attorney will gather any other information he
11 thinks I need to know about you. And we will have
12 sentencing on the 8th. Any questions?

13 MR. ATAKPU: Was the Court going to order
14 a restitution study as well?

15 THE COURT: It's part of the Pre-Sentence
16 Investigation. Counsel?

17 MR. ARNESON: That's it. Thank you, Your
18 Honor.

19 THE COURT: Will that work for you?

20 MR. ARNESON: It does work for me. What
21 time did we say? Morning or afternoon?

22 THE CLERK: 1:30.

23 MR. ARNESON: Okay.

24 THE COURT: Thank you, everyone.

25 MR. ARNESON: Thank you, Your Honor.

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MR. ATAKPU: Thank you, Your Honor.

THE COURT: Thank you, Ms. Johnson.
You'll get a piece of paper and then you're free to
go.

(End of proceedings.)

* * * * *

STATE OF MINNESOTA)
)
COUNTY OF RAMSEY)

R E P O R T E R ' S C E R T I F I C A T E

I, Kelly Korte, do certify that at the time of the hearing I was an official court reporter in and for the County of Ramsey, Second Judicial District, State of Minnesota, and that I reported the foregoing proceedings in this matter, and that the transcript contained on the foregoing 16 pages is a true and correct transcript of the shorthand notes taken by me at the said time and place herein mentioned.

Dated: March 7, 2019



Kelly Korte
Official Court Reporter
Anoka County Courthouse
2100 3rd Avenue
Anoka, Minnesota 55303
Telephone: 763.760.6768

COPY

Attachment 3

The State of Minnesota
Ramsey County
Ramsey Criminal Downtown

FILED
MAY 08 2017

District Court
2nd Judicial District

State of Minnesota vs Jennifer Rebecca Johnson
RAMSEY DISTRICT COURT ORDER

Case Number: 62-CR-16-7465

WARRANT OF COMMITMENT

CURRENT DEFENDANT INFORMATION

Known Address: [REDACTED] MN [REDACTED] Correspondence Address: [REDACTED] South St. Paul, MN [REDACTED]
Phone Number: None Provided
DOB: [REDACTED] 974

CASE CHARGES

Ct	Statute	Type	Description	Disposition
1	609.52.2(a)(4)	Charging	Theft-By Swindle	Convicted
	609.52.3(2)	Penalty	Theft-Value over \$5,000 or Trade Secret, Explosive, Controlled Substance I or II	
2	609.52.2(a)(4)	Charging	Theft-By Swindle	Dismissed
3	609.52.2(a)(4)	Charging	Attempted Theft-By Swindle	Convicted
	609.17.1	Not chargeable	Anticipatory Crimes-Attempts	
	609.52.3(3)(a)	Penalty	Theft-Value of Property or Services \$1001-\$5,000	

TERMS OF DISPOSITION OR SENTENCE: COUNT 1

Level of Sentence: Felony
Sentence is a stay of imposition pursuant to M.S. 609.135.
Successful completion of probation will result in a misdemeanor conviction.

Date Pronounced: May 08, 2017

Offense Information

Ct	Offense Date	Statute	Description	Offense Disposition
1	10/14/2014	609.52.2(a)(4)	Theft-By Swindle	Convicted
	MOC at Filing	GOC	Controlling Agency	Controlling No.
	U1062		MN Dept of Commerce - Insurance Fraud Prevention Division	16000690

Sentence Details

Local Confinement

Defendant is sentenced to 5 days in the Ramsey County Correctional Facility. Defendant is to serve 5 days. Credit for time served amount is 5 days.

Status: Active

Status Date: 05/08/2017



Monitoring - Adult

Defendant is placed on Supervised probation for 5 years, monitored by Ramsey County Probation.

Start Date: 05/08/2017

Discharge Date: 05/08/2022

Status: Active

Status Date: 05/08/2017

Fees

Sentence includes a \$100.00 fine.

Law Library Fees	\$10.00		
County/Sheriff & Felony Fines	\$100.00		
Ramsey County Surcharge	\$1.00		
Crim/Traffic Surcharge (once per case)	\$75.00		
Restitution	\$23,615.77		
Subtotal	\$23,801.77	Due	06/07/2017

Conditions - Adult

Defendant is placed under the following conditions:

Condition	Location	Amt	Effective	End
Follow all State and Federal criminal laws.			05/08/2017	
Contact your probation officer as directed.			05/08/2017	
Tell your probation officer within 72 hours if you have contact with law enforcement.			05/08/2017	
Tell your probation officer within 72 hours if you are charged with any new crime.			05/08/2017	
Tell your probation officer within 72 hours if you change your address, employment, or telephone number.			05/08/2017	
Cooperate with the search of your person, residence, vehicle, workplace, property, and things as directed by your probation officer.			05/08/2017	
Sign releases of information as directed.			05/08/2017	
Give a DNA sample when directed.			05/08/2017	
Do not use or possess firearms, ammunition or explosives			05/08/2017	
Do not register to vote or vote until discharged from probation and your civil rights are fully restored.			05/08/2017	

Pay Restitution before Fines, Fees and Surcharges		\$23,615.77	05/08/2017
Two victims =	11,015.77, 12,600.00		

Service - Adult

Defendant is sentenced to Community work service for 60 Hours within an indeterminate period of time.

Start Date: 05/08/2017

- To be completed in 1 year

Status: Active

Status Date: 05/08/2017

TERMS OF DISPOSITION OR SENTENCE: COUNT 3

Level of Sentence: Felony
Sentence is a stay of imposition pursuant to M.S. 609.135.
Successful completion of probation will result in a misdemeanor conviction.

Date Pronounced: May 08, 2017

Offense Information:

Ct	Offense Date	Statute	Description	Offense Disposition
3	02/10/2016	609.52.2(a)(4)	Attempted Theft-By Swindle	Convicted
	MOC at Filing	GOC	Controlling Agency	Controlling No.
	U1062		MN Dept of Commerce - Insurance Fraud Prevention Division	16000690

Sentence Details

Local Confinement

Defendant is sentenced to 5 days in the Ramsey County Correctional Facility. Defendant is to serve 5 days. Credit for time served amount is 5 days.

Status: Active

Status Date: 05/08/2017

Monitoring - Adult

Defendant is placed on Supervised probation for 2 years and 6 months, monitored by Ramsey County Probation.

Start Date: 05/08/2017

Discharge Date: 11/08/2019

Status: Active

Status Date: 05/08/2017

Conditions - Adult

Defendant is placed under the following conditions:

Condition	Location	Amt	Effective	End
Follow all State and Federal criminal laws.			05/08/2017	
Contact your probation officer as directed.			05/08/2017	
Tell your probation officer within 72 hours if you have contact with law enforcement.			05/08/2017	
Tell your probation officer within 72 hours if you are charged with any new crime.			05/08/2017	
Tell your probation officer within 72 hours if you change your address, employment, or telephone number.			05/08/2017	
Cooperate with the search of your person, residence, vehicle, workplace, property, and things as directed by your probation officer.			05/08/2017	
Sign releases of information as directed.			05/08/2017	
Give a DNA sample when directed.			05/08/2017	
Do not use or possess firearms, ammunition or explosives			05/08/2017	
Do not register to vote or vote until discharged from probation and your civil rights are fully restored.			05/08/2017	
Pay Restitution before Fines, Fees and Surcharges			05/08/2017	
Two victims 11,015.77, 12,600.00				
Total 23,615.77				

Service - Adult

Defendant is sentenced to Community work service for 60 Hours within an indeterminate period of time.

Start Date: 05/08/2017

- To be completed in 1 year

Status: Active

Status Date: 05/08/2017

GRAND TOTALS

Date of Sentence: 05/08/2017

Due Date: 06/07/2017

Original Amount: \$23,801.77

The court may refer this case for collection if you fail to make a payment, and collection costs will be added. You have the right to contest a referral for collection based on inability to pay by requesting a hearing no later than the due date. M.S. §§ 480.15, subd. 10c; 609.104

CREDIT TIME SERVED

Count 1: 5 days

Count 3: 5 days

SIGNATURE

NICOLE J. STARR

Judge Nicole J. Starr

Sentence pronounced on 05/08/2017 by District Court Judge

Court Administrator: Gwen Upton

651-266-1999

If you have questions regarding the terms of your sentence or disposition, please contact your probation agent or court administrator.