

BrokerCheck Report

PAUL GORDON

CRD# 1027219

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6
Disclosure Events	7



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:
 - o 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
 - o 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.

**PAUL GORDON**

CRD# 1027219

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 250 PEHLE AVE STE 500
 PARK 80 WEST, PLAZA TWO
 SADDLE BROOK, NJ 07663
 CRD# 6363
 Registered with this firm since: 04/07/2016

B AMERIPRISE FINANCIAL SERVICES, LLC
 250 PEHLE AVE STE 500
 PARK 80 WEST, PLAZA TWO
 SADDLE BROOK, NJ 07663
 CRD# 6363
 Registered with this firm since: 04/05/2016

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
- 21 U.S. states and territories

This broker has passed:

- 2 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 RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 NEW YORK, NY
 10/2009 - 04/2016
- B RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 PARAMUS, NJ
 10/2009 - 04/2016
- IA J. B. HANAUER & CO.**
 CRD# 6958
 PARSIPPANY, NJ
 05/2002 - 10/2009

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	4

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 21 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 Principal	Approved	04/05/2016
B	FINRA	General Securities Representative	Approved	04/05/2016
B	FINRA	Municipal Securities Principal	Approved	04/05/2016
B	FINRA	Municipal Securities Representative	Approved	04/05/2016

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/28/2016
B	Connecticut	Agent	Approved	05/04/2016
B	Delaware	Agent	Approved	04/28/2016
B	District of Columbia	Agent	Approved	09/10/2021
B	Florida	Agent	Approved	04/28/2016
B	Georgia	Agent	Approved	07/17/2023
B	Maryland	Agent	Approved	04/28/2016
B	Massachusetts	Agent	Approved	05/03/2016
B	Minnesota	Agent	Approved	08/18/2025



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	04/28/2016
B	New Jersey	Agent	Approved	04/05/2016
IA	New Jersey	Investment Adviser Representative	Approved	04/07/2016
B	New Mexico	Agent	Approved	03/14/2019
B	New York	Agent	Approved	04/28/2016
B	North Carolina	Agent	Approved	07/31/2020
B	Ohio	Agent	Approved	04/28/2016
B	Oregon	Agent	Approved	04/28/2016
B	Pennsylvania	Agent	Approved	04/28/2016
B	South Carolina	Agent	Approved	07/06/2022
B	Texas	Agent	Approved	11/09/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	11/10/2021
B	Vermont	Agent	Approved	04/28/2016
B	Virginia	Agent	Approved	04/28/2016

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

250 PEHLE AVE STE 500
PARK 80 WEST, PLAZA TWO
SADDLE BROOK, NJ 07663

AMERIPRISE FINANCIAL SERVICES, LLC

Washington Twsp, NJ



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	06/07/1985
B General Securities Principal Examination	Series 24	02/01/1985

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/16/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/03/2002
B Uniform Securities Agent State Law Examination	Series 63	06/09/1982

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
B 10/2009 - 04/2016	RBC CAPITAL MARKETS, LLC	31194	PARAMUS, NJ
IA 10/2009 - 04/2016	RBC CAPITAL MARKETS, LLC	31194	PARAMUS, NJ
IA 05/2002 - 10/2009	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ
B 01/1982 - 10/2009	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ

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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Saddle Brook, NJ, United States
03/2016 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Saddle Brook, NJ, United States
10/2009 - 03/2016	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	PARAMUS, NJ, 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.

No information reported.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	4	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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	09/02/1999
Docket/Case Number:	REL.34-41825, FILE NO. 3-9992
Employing firm when activity occurred which led to the regulatory action:	J. B. HANAUER & CO.
Product Type:	No Product
Other Product Type(s):	
Allegations:	SEC NEWS DIGEST, ISSUE NO. 99-170, DATED SEPTEMBER 2, 1999, ENFORCEMENT PROCEEDINGS DISCLOSES: THE COMMISSION ANNOUNCED TODAY THE FILING OF SETTLED ADMINISTRATIVE PROCEEDINGS AGAINST FIVE FORMER BROKERS AND ONE CURRENT BROKER AT A MEMBER FIRM. THE COMMISSION CHARGED THE FIVE FORMER BROKERS WITH CHURNING CLIENT ACCOUNTS; PURCHASING UNSUITABLE QUANTITIES OF BELOW INVESTMENT-GRADE BONDS; AND OTHER FRAUDULENT SALES PRACTICES. THE VIOLATIONS OCCURRED



FROM 1990 TO 1995 AT THE NEW JERSEY OFFICE AND AT TWO FLORIDA BRANCH OFFICES. THE COMMISSION ALSO CHARGED THE FIRM AND TWO OF ITS FORMER BRANCH MANAGERS WITH FAILING REASONABLY TO SUPERVISE CERTAIN OF THE BROKERS. IN SETTling THE CHARGES, THE FIRM AND THE INDIVIDUAL RESPONDENTS AGREED TO PAY CIVIL PENALTIES TOTALING \$800,000, AND TO OTHER RELIEF DESCRIBED BELOW.

Current Status: Final

Resolution: Order

Resolution Date: 09/08/1999

Sanctions Ordered: Monetary/Fine \$15,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE COMMISSION'S FINDINGS, GORDON CONSENTED TO THE ENTRY OF THE COMMISSION'S ORDER THAT:HE FAILED REASONABLY TO SUPERVISE AN INDIVIDUAL WITH A VIEW TO PREVENTING HIS WILLFUL VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT, SECTION 10(B) OF THE EXCHANGE ACT, AND RULE 10B-5 THEREUNDER, SUSPENDS GORDON FROM ASSOCIATION WITH ANY BROKER OR DEALER FOR A PERIOD OF THREE MONTHS, SUSPENDS GORDON FROM ASSOCIATION IN A SUPERVISORY CAPACITY WITH ANY BROKER OR DEALER FOR A PERIOD OF NINE MONTHS FOLLOWING HIS SUSPENSION FROM ASSOCIATION, AND ORDERS HIM TO PAY A CIVIL MONEY PENALTY OF \$15,000.

Reporting Source: Broker

Regulatory Action Initiated By: U.S. SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Monetary Penalty other than Fines
Suspension

Date Initiated: 09/02/1999

Docket/Case Number: REL 34.41825, FILE NO. 3-9992

Employing firm when activity occurred which led to the regulatory action: J.B. HANAUER & CO.



Product Type:	Debt-Municipal
Allegations:	ALLEGED FAILURE TO REASONABLY SUPERVISE ONE REGISTERED REPRESENTATIVE WITH A VIEW TO PREVENTING VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT, SECTION 10(B) AND RULE 10(B)(5) OF THE EXCHANGE ACT.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/02/1999
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 2	
Sanction Type:	Suspension
Capacities Affected:	GENERAL SECURITIES PRINCIPAL
Duration:	NINE MONTHS
Start Date:	09/13/1999
End Date:	06/12/2000
Sanction 2 of 2	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE MONTHS
Start Date:	09/13/1999
End Date:	12/13/1999
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00



Portion Levied against individual: \$15,000.00

Payment Plan: NONE

Is Payment Plan Current: Yes

Date Paid by individual: 09/13/1982

Was any portion of penalty waived? No

Amount Waived:

Broker Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. GORDON AGREED TO THE ABOVE DESCRIBED SETTLEMENT.



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:	RBC Capital Markets, LLC
Allegations:	Attorney for client states municipal bonds were recommended for purchase even though the client was not interested in taking on any unnecessary risk in the period of 2010 to 2014.
Product Type:	Debt-Municipal
Alleged Damages:	\$225,000.00
Alleged Damages Amount Explanation (if amount not exact):	Losses could potentially exceed alleged amount
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/30/2017
Complaint Pending?	No
Status:	Settled
Status Date:	01/31/2018
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
--------------------------	--------



Employing firm when activities occurred which led to the complaint:	RBC Capital Markets, LLC
Allegations:	Attorney for client states municipal bonds were recommended for purchase even though the client was not interested in taking on any unnecessary risk in the period of 2010 to 2014.
Product Type:	Debt-Municipal
Alleged Damages:	\$225,000.00
Alleged Damages Amount Explanation (if amount not exact):	Losses could potentially exceed alleged amount
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/30/2017
Complaint Pending?	No
Status:	Settled
Status Date:	01/31/2018
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.B. HANAUER & CO.
Allegations:	CLAIMANTS ALLEGED CONVERSION, BREACHES OF FIDUCIARY DUTIES & CONTRACT; COMMON LAW & CONSUMER FRAUD, VIOLATIONS OF THE N.J. SECURITIES ACT, SECURITIES EXCHANGE ACT OF 1934 & NASD RULES AND NEGLIGENCE RELATING TO ACTIVITY FROM 1998 THROUGH 2002.



Product Type: Debt - Corporate

Alleged Damages: \$1,800,000.00

Customer Complaint Information

Date Complaint Received: 08/29/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/07/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR # 02-5072

Date Notice/Process Served: 10/07/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/23/2004

Monetary Compensation Amount: \$40,980.72

Individual Contribution Amount: \$17,006.99

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: J.B. HANAUER & CO.

Allegations: SUBSEQUENT TO A BOND DEFAULT, THE CLIENT ALLEGED THROUGH COUNSEL THAT HIS PURCHASE OF ONE CORPORATE BOND IN JUNE 1998 WAS MISREPRESENTED AND UNSUITABLE.

Product Type: Debt - Corporate



Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 12/05/2000

Complaint Pending? No

Status: Settled

Status Date: 12/27/2000

Settlement Amount: \$13,500.00

Individual Contribution Amount: \$6,075.00

Broker Statement WHILE THERE WAS NO EVIDENCE TO SUPPORT THE ALLEGATIONS, THE FIRM AGREED TO SETTLE THE CLAIM STRICTLY AS A MEANS OF SATISFYING A LONG TERM CLIENT AND MAINTAINING THE RELATIONSHIP.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.B. HANAUER & CO.
Allegations:	TWO YEARS AFTER A 2001 BOND DEFAULT, THE CLIENT ALLEGED THROUGH COUNSEL THAT A PURCHASE HE MADE IN SEPTEMBER 1993 WAS MISREPRESENTED. THE COMPLAINT DID NOT CONTAIN A CLEAR CLAIM FOR COMPENSATORY DAMAGES BUT OFFERED A SETTLEMENT AMOUNT.
Product Type:	Debt - Corporate
Alleged Damages:	\$15,000.00

Customer Complaint Information

Date Complaint Received:	11/20/2003
Complaint Pending?	No
Status:	Denied
Status Date:	11/24/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE COMPLAINT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE.

End of Report



This page is intentionally left blank.