BrokerCheck Report

RONALD STEPHEN CAMISASCA

CRD# 1029532

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

Please contact FINRA with any concerns.

About BrokerCheck®

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

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

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

brokercheck.finra.org

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

RONALD S. CAMISASCA

CRD# 1029532

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

B **AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
CLEARWATER, FL
08/2014 - 09/2024

B **MORGAN STANLEY**
CRD# 149777
PALM HARBOR, FL
06/2009 - 09/2014

B **MORGAN STANLEY & CO. INCORPORATED**
CRD# 8209
PALM HARBOR, FL
04/2007 - 06/2009

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
Customer Dispute	3
Termination	1

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
https://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 broker is not currently registered.

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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/22/1986

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	02/06/2007
B	Interest Rate Options Examination	Series 5	03/02/1982
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	03/25/1992
B	Uniform Securities Agent State Law Examination	Series 63	03/17/1982

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	08/2014 - 09/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	CLEARWATER, FL
B	06/2009 - 09/2014	MORGAN STANLEY	149777	PALM HARBOR, FL
B	04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM HARBOR, FL
B	04/2005 - 04/2007	MORGAN STANLEY DW INC.	7556	PALM HARBOR, FL
B	10/1999 - 05/2005	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
B	04/1999 - 10/1999	FIRST UNION CAPITAL MARKETS CORP.	6124	CHARLOTTE, NC
B	01/1993 - 03/1999	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	10/1989 - 01/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B	01/1982 - 10/1989	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	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Clearwater, FL, United States
08/2014 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Clearwater, FL, 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
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SHEARSON INC

Allegations: CUSTOMER ALLEGES THAT ADVICE GIVEN WITH
RESPECT TO PURCHASE IN Y&A ENGINEERING GROUP WAS INACCURATE
AND
THAT THE PURCHASES WERE UNSUITABLE . ALLEGED DAMAGES OF
$107,000.

Product Type:

Alleged Damages: $107,000.00

Customer Complaint Information

Date Complaint Received: 05/26/1992

Complaint Pending? No

Status: Settled

Status Date: 10/19/1992

Settlement Amount: $40,000.00

Individual Contribution Amount: $0.00

Firm Statement SETTLED IN THE AMOUNT OF $40,000. . FC WAS NOT
ASKED TO CONTRIBUTE. SHEARSON IS PAYING TOTAL SETTLEMENT.

NO OPTIONS OR COMMODITIES CONTACT PERSON: JOSEPH
HANCAOR (212) 464-7279

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SHEARSON INC
Allegations:	CUSTOMER ALLEGES THAT ADVICE GIVEN WITH RESPECT TO PURCHASE OF STOCK IN Y + A ENGINEERING GROUP WAS INACCURATE AND THAT THE PURCHASES WERE UNSUITABLE ALLEGED DAMAGES: $107,000.00 EMPLOYING FIRM: SHEARSON LEHMAN
Product Type:	
Alleged Damages:	$107,000.00

Customer Complaint Information

Date Complaint Received:	05/26/1992
Complaint Pending?	No
Status:	Settled
Status Date:	10/19/1992
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED IN THE AMOUNT OF $40,000.00 SHEARSON DETERMINED FC WAS NOT AT FAULT AND THUS WAS NOT ASKED TO CONTRIBUTE. ALLEGATIONS WITHOUT MERIT. LOSSES WERE SUSTAINED WHEN CO. CEO DISAPPEARED WITH ALL TANGIABLE NETWORTH OF THE COMPANY. IN 1 DAY, STOCK PLUMMETED FROM $13 TO O. OUR FIRM`S ANALYST HAD BUY RECOMMENDATION ON THE STOCK. CLIENT HAD NETWORTH IN EXCESS OF $1 MILLION + OFTEN TRADED OPTIONS + SPECULATIVE STOCKS. ALSO, A MAJOR PREMISE OF THE CLAIM IS FALSE. WHILE I WAS NAMED IN THE COMPLAINT, THE CLIENT`S PRIMARY CONSULTANT WAS MY FORMER PARTNER + CLOSE FRIEND OF MS LASHEN, JOAN KOCHAN. MR. KOCHAN ACTUALLY PLACED 3 OF THE 4 ORDERS TO BUY Y + A STOCK FOR MS. LASHEN. I SPOKE TO CLIENT ONLY OCCASSIONALLY, TYPICALLY IN MS. KOCHAN`S ABSENCE. PLACING

THIS CLAIM AGAINST ME AND NOT MR KOCHAN IS A WAY MS LASHEN TO
EXTRACT MONEY FROM SHEARSON WITHOUT JEOPARDIZING HER
FRIEND. I
VIGOROUS PROTEST THIS CLAIM, SETTLEMENT AND LONG-TERM EFFECT
ON
MY RECORDS.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH INC.

Allegations:

Product Type:

Alleged Damages: $36,752.38

Customer Complaint Information

Date Complaint Received: 05/06/1987

Complaint Pending? No

Status: Settled

Status Date: 04/24/1989

Settlement Amount: $15,000.00

Individual Contribution Amount: $0.00

Firm Statement

RONALD CAMISASCA WAS PERMITTED TO RESIGN ON OCTOBER 5, 1989,
FOR
NON-COMPLIANCE WITH COMPANY POLICY. ON MAY 6, 1987, CUSTOMER
[CUSTOMER] OLDSMOBILE, INC. ALLEGED THAT THE PURCHASE OF MET
LIFE
STATE STREET GOVERNMENT FUND WAS NOT CONSISTENT WITH ITS
INVESTMENT NEEDS. THE CUSTOMERS SOUGHT $36,752.38. IT WAS THE
FIRM'S STRONG BELIEF THAT THE PURCHASE OF A NO-LOAN FUND WAS
APPROPRIATE FOR THE CLIENT. IN APRIL 1987, INTEREST RATES SOARED
PRECIPITOUSLY. AS A RESULT SUCH FUNDS WERE NEGATIVELY
IMPACTED.
HOWEVER, THE RISKS ASSOCIATED WITH THE FUND WERE DISCLOSED TO
THE CLIENT THROUGH AT LEAST TWO COPIES OF PROSPECTUSES. THE

FIRM'S BELIEF NOTWITHSTANDING, IN ORDER TO REACH AN AMICABLE SETTLEMENT WITH A VALUED CLIENT, MERRILL LYNCH AGREED TO SETTLE
THE MATTER FOR $15,000 ON APRIL 24, 1989. BECAUSE THE SETTLEMENT WAS MADE SOLELY IN ORDER TO RETAIN THE GOOD WILL OF THE CUSTOMERS, THEIR FINANCIAL CONSULTANT, RONALD CAMISASCA, WAS NOT
ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH INC.

Allegations: THE CUSTOMER ALLEGED THAT THE PURCHASE OF THE METLIFE STATE STREET GOVERNMENRT FUND WAS NOT CONSISTENT WITH
ITS INVESTMENT NEEDS. THEY SOUGHT $36,752.38 IN DAMAGES.
EMPLOYING FIRM: MERRILL LYNCH

Product Type:

Alleged Damages: $36,752.38

Customer Complaint Information

Date Complaint Received: 05/06/1987

Complaint Pending? No

Status: Settled

Status Date: 04/24/1989

Settlement Amount: $15,000.00

Individual Contribution Amount: $0.00

Broker Statement IN ORDER TO REACH AN AMICABLE RESOLUTION WITH A VALUED CLIENT, MERRILL LYNCH AGREED TO SETTLE THE MATTER FOR $15,000 BECAUSE THE SETTLEMENT WAS MADE SOLELY TO RETAIN THE GOOD WILL OF THE CLIENTS, WHO ARE VERY PROMINENT IN THE COMMUNITY. MR. CAISASCA HAS NOT BEEN ASKED TO CONTRIBUTE TO THE SETTLEMENT.
IT IS MERRILL LYNCH`S STRONG BELIEF THAT THE PURCHASE OF A NO-LOAD FUND WAS APPROPRIATE. UNFORTUNATELY,

INTEREST RATES SOARED IN APRIL 1987 AND SUCH FUNDS WERE NEGATIVELY IMPACTED. HOWEVER, THE RISKS ASSOCIATED WITH THIS FUND WERE DISCLOSED FOR THE CUSTOMER THROUGH AT LEAST TWO COPIES OF THE PROSPECTUS.

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:	WACHOVIA SECURITIES, INC.
Allegations:	COLORADO RESIDENT CLAIMED THAT SHE DID NOT FORMALLY APPROVE OF ANY OF THE ACTIVITY THAT OCCURRED IN TWO OF HER ACCOUNTS, A NON-MANAGED TRUST ACCOUNT AND A FEE-BASED MANAGED ACCOUNT IN WHICH THE FA HAD DISCRETION. FURTHER THE CLIENT CLAIMED THAT SHE WAS SOLD MUTUAL FUND B-SHARES WITHOUT HAVING BEEN ADVISED THAT SHE MAY HAVE BEEN ABLE TO PURCHASE A-SHARES AND RECEIVE BREAKPOINTS. THE CLIENT FURTHER CLAIMED THAT HER ACCOUNTS WERE NOT DIVERSIFIED SINCE THE MAJORITY OF HER ASSETS WERE INVESTED IN EQUITIES (INDIVIDUAL STOCKS, MUTUAL FUNDS AND AN ANNUITY), AND THAT THE LACK OF DIVERSIFICATION WAS UNSUITABLE GIVEN HER GOAL TO PRESERVE HER WEALTH. FINALLY, THE CLIENT CLAIMED THAT THREE OF HER TRUST ACCOUNTS THAT WERE MANAGED BY OUTSIDE MONEY MANAGERS ALSO LACKED DIVERSIFICATION SINCE THE PORTFOLIOS CONSISTED PRIMARILY OF EQUITIES WHICH WERE OF AN AGGRESSIVE NATURE. NO TIME PERIOD WAS SPECIFIED, HOWEVER, ONE OF THE CLIENT'S TRUST ACCOUNTS WAS OPENED IN 03/99 WHILE THE OTHER FOUR TRUST ACCOUNTS WERE OPENED IN 03/01. THE CLIENT DID NOT SPECIFY A DAMAGE AMOUNT BUT DEMANDED THAT SHE BE MADE WHOLE FOR ANY MARKET DECLINES IN HER PORTFOLIOS AND REIMBURSED FOR ANY FEES THAT SHE INCURRED. MARKET VALUE DECLINES ARE REASONABLY EXPECTED TO BE IN EXCESS OF $5,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	$5,001.00

Customer Complaint Information

Date Complaint Received:	06/09/2003
Complaint Pending?	No
Status:	Denied

Status Date:	08/01/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	A LETTER WAS SENT TO THE CLIENT ON AUGUST 1, 2003 DENYING THE COMPLAINT. IT WAS DETERMINED THAT THE CLIENT AUTHORIZED AND APPROVED OF ALL OF THE ACTIVITY THAT HAD OCCURRED DURING THE RELEVANT TIME PERIOD IN HER NON-MANAGED TRUST ACCOUNT AND HER FEE-BASED MANAGED ACCOUNT IN WHICH THE FA HAD DISCRETION. FURTHER IT WAS DETERMINED THAT THE CLASS "B" SHARES WERE THE MOST APPROPRIATE PRICING CLASS OF MUTUAL FUND SHARES BASED UPON THE CLIENT'S OVERALL FINANCIAL PROFILE AND INVESTMENT GOALS. THE CLIENT WAS PROVIDED WITH INFORMATION ABOUT BOTH "A" SHARES AND "B" SHARES. IT WAS ALSO DETERMINED THAT THE CLIENT'S INVESTMENTS IN EQUITIES IN ALL OF HER TRUST ACCOUNTS WERE CONSISTENT WITH HER INVESTMENT OBJECTIVE FOR EACH OF THE ACCOUNTS WHICH WAS GROWTH WITH A QUALITY EMPHASIS. ANY DECLINES THAT MAY HAVE OCCURRED IN THE VALUE OF THE CLIENT'S ACCOUNTS APPEARED TO BE THE RESULT OF GENERAL MARKET FORCES OVER THE PAST TWO YEARS.

Employment Separation After Allegations

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

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	MERRILL LYNCH PIERCE FENNER & SMITH
Termination Type:	Permitted to Resign
Termination Date:	10/05/1989
Allegations:	NONE THE CUSTOMER ALLEGED THAT THE PURCHASE OF THE METLIFE STATE STREET GOVERNMENRT FUND WAS NOT CONSISTENT WITH ITS INVESTMENT NEEDS. THEY SOUGHT $36,752.38 IN DAMAGES. EMPLOYING FIRM: MERRILL LYNCH
Product Type:	
Other Product Types:	
Broker Statement	IN ORDER TO REACH AN AMICABLE RESOLUTION WITH A VALUED CLIENT, MERRILL LYNCH AGREED TO SETTLE THE MATTER FOR $15,000 BECAUSE THE SETTLEMENT WAS MADE SOLELY TO RETAIN THE GOOD WILL OF THE CLIENTS, WHO ARE VERY PROMINENT IN THE COMMUNITY. MR. CAISASCA HAS NOT BEEN ASKED TO CONTRIBUTE TO THE SETTLEMENT. IT IS MERRILL LYNCH`S STRONG BELIEF THAT THE PURCHASE OF A NO-LOAD FUND WAS APPROPRIATE. UNFORTUNATELY, INTEREST RATES SOARED IN APRIL 1987 AND SUCH FUNDS WERE NEGATIVELY IMPACTED. HOWEVER, THE RISKS ASSOCIATED WITH THIS FUND WERE DISCLOSED FOR THE CUSTOMER THROUGH AT LEAST TWO COPIES OF THE PROSPECTUS.

End of Report

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