

BrokerCheck Report

PAUL JOSEPH GRANDE

CRD# 1539442

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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 J. GRANDE**

CRD# 1539442

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 28100 US HWY 19 N
 STE 400
 CLEARWATER, FL 33761
 CRD# 6363
 Registered with this firm since: 07/22/2010

B AMERIPRISE FINANCIAL SERVICES, LLC
 28100 US HWY 19 N
 STE 400
 CLEARWATER, FL 33761
 CRD# 6363
 Registered with this firm since: 07/07/2010

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
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

- B MORGAN STANLEY SMITH BARNEY**
 CRD# 149777
 PALM HARBOR, FL
 06/2009 - 07/2010
- IA MORGAN STANLEY SMITH BARNEY LLC**
 CRD# 149777
 PURCHASE, NY
 06/2009 - 07/2010
- IA MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 NEW YORK, NY
 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
Regulatory Event	1
Customer Dispute	7



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 25 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	Corporate Securities Represent	Approved	07/07/2010
B	FINRA	General Securities Representative	Approved	07/07/2010
B	FINRA	General Securities Sales Supervisor	Approved	07/07/2010
B	FINRA	Registered Options Principal	Approved	07/07/2010

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/23/2022
B	California	Agent	Approved	01/15/2021
B	Connecticut	Agent	Approved	06/16/2021
B	Delaware	Agent	Approved	02/07/2019
B	Florida	Agent	Approved	07/22/2010
IA	Florida	Investment Adviser Representative	Approved	07/22/2010
B	Georgia	Agent	Approved	07/07/2010
B	Illinois	Agent	Approved	07/07/2010
B	Indiana	Agent	Approved	07/22/2010



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	10/16/2017
B	Louisiana	Agent	Approved	01/23/2024
B	Maryland	Agent	Approved	03/24/2025
B	Michigan	Agent	Approved	07/23/2010
B	Mississippi	Agent	Approved	02/28/2011
B	Montana	Agent	Approved	09/19/2024
B	New Hampshire	Agent	Approved	02/17/2022
B	New Jersey	Agent	Approved	12/15/2016
B	New York	Agent	Approved	07/07/2010
B	North Carolina	Agent	Approved	07/07/2010
B	Ohio	Agent	Approved	08/27/2010
B	Oregon	Agent	Approved	08/19/2022
B	Pennsylvania	Agent	Approved	07/07/2010
B	South Carolina	Agent	Approved	09/07/2021
B	Tennessee	Agent	Approved	03/22/2024
B	Texas	Agent	Approved	09/09/2010
IA	Texas	Investment Adviser Representative	Approved	09/09/2010
B	Virginia	Agent	Approved	01/18/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
28100 US HWY 19 N

Broker Qualifications



Employment 1 of 1, continued

STE 400
CLEARWATER, FL 33761

AMERIPRISE FINANCIAL SERVICES, LLC
Palm Harbor, FL



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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B Registered Options Principal Examination	Series 4	10/31/1995
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	06/10/1993

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	10/18/1993
B General Securities Representative Examination	Series 7	06/17/1989
B Corporate Securities Limited Representative Examination	Series 62	09/23/1988
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/22/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/24/1995
B Uniform Securities Agent State Law Examination	Series 63	07/29/1986

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 06/2009 - 07/2010	MORGAN STANLEY SMITH BARNEY	149777	PALM HARBOR, FL
IA 06/2009 - 07/2010	MORGAN STANLEY SMITH BARNEY LLC	149777	PALM HARBOR, FL
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM HARBOR, FL
IA 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM HARBOR, FL
IA 01/1991 - 04/2007	MORGAN STANLEY	7556	PALM HARBOR, FL
B 05/1989 - 04/2007	MORGAN STANLEY DW INC.	7556	PALM HARBOR, FL
B 01/1989 - 09/1989	WINSTON-FROST SECURITIES, INC.	19009	
B 09/1988 - 01/1989	ALLSTATE INVESTMENT GROUP, INC.	13992	
B 12/1986 - 09/1988	MUTUAL OF OMAHA FUND MANAGEMENT COMPANY	611	
B 08/1986 - 11/1986	FIRST INVESTORS CORPORATION	305	

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
07/2010 - 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.

Registration and Employment History



Other Business Activities, continued

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	7	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:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	10/01/2002
Docket/Case Number:	3-10905
Employing firm when activity occurred which led to the regulatory action:	DEAN WITTER REYNOLDS INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	SEC ADMINISTRATIVE RELEASE 34-46578, OCTOBER 1, 2002: THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") INSTITUTED PUBLIC ADMINISTRATIVE PROCEEDING PURSUANT TO SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT"), AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTION 21C OF THE EXCHANGE ACT. FROM APPROXIMATELY MAY 1998 UNTIL AUGUST 19, 1998, GRANDE FAILED REASONABLY TO SUPERVISE OTHER RESPONDENT WITH A VIEW TO PREVENTING HIS VIOLATIONS OF SECTION 10(B) OF THE



EXCHANGE ACT AND RULE 10B-5 THEREUNDER, AND HIS AIDING AND ABETTING FIRM'S VIOLATIONS OF SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-3 THEREUNDER.

Current Status:

Final

Resolution:

Order

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:

10/01/2002

Sanctions Ordered:

Monetary/Fine \$25,000.00
Suspension

Other Sanctions Ordered:**Sanction Details:**

WITHOUT ADMITTING OR DENYING ANY OF THE FINDINGS RESPONDENT CONSENTS TO THE ENTRY OF THIS ORDER INSTITUTING PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTION 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934. ACCORDINGLY, IT IS ORDERED THAT GRANDE IS SUSPENDED FROM ASSOCIATION IN A SUPERVISORY CAPACITY WITH ANY BROKER OR DEALER FOR A PERIOD OF NINE MONTHS EFFECTIVE ON THE SECOND MONDAY FOLLOWING THE ENTRY OF THE ORDER. GRANDE SHALL PROVIDE TO THE COMMISSION, WITHIN 10 DAYS AFTER THE END OF THE NINE MONTH SUSPENSION PERIOD DESCRIBED ABOVE, AN AFFIDAVIT THAT HE HAS COMPLIED FULLY WITH THE SANCTIONS DESCRIBED IN THIS PARAGRAPH. GRANDE SHALL, WITHIN 30 DAYS OF THE ENTRY OF THIS ORDER, PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$25,000 TO THE UNITED STATES TREASURY.

Reporting Source:

Broker

Regulatory Action Initiated By:

SECURITIES EXCHANGE COMMISSION

Sanction(s) Sought:

Other

Other Sanction(s) Sought:

SUPERVISORY SUSPENSION - CIVIL PENALTY



Date Initiated:	07/19/2001
Docket/Case Number:	3-10905
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY DW, INC
Product Type:	Other
Other Product Type(s):	N/A
Allegations:	THE SEC ALLEGE THAT MR. GRANDE, IN HIS CAPACITY AS BRANCH MANAGER, FAILED TO SUPERVISE FINANCIAL ADVISOR, MARK ROGERS
Current Status:	Final
Resolution:	Decision
Resolution Date:	10/01/2002
Sanctions Ordered:	Monetary/Fine \$25,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	ON OCTOBER 1, 2002, THE SEC ISSUED AN ORDER SUSPENDING GRANDE FROM ASSOCIATION IN A SUPERVISORY CAPACITY WITH ANY BROKER OR DEALER FOR A PERIOD OF NINE MONTHS AND ALSO DORECTED MR. GRANDE TO PAY A CIVIL PENALTY IN THE AMOUNT OF \$25000.00
Broker Statement	ON OCTOBER 1, 2002, THE SEC ISSUED AN ORDER SUSPENDING GRANDE FROM ASSOCIATION IN A SUPERVISORY CAPACITY WITH ANY BROKER OR DEALER FOR A PERIOD OF NINE MONTHS AND ALSO DORECTED MR. GRANDE TO PAY A CIVIL PENALTY IN THE AMOUNT OF \$25000.00



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 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER, INC.

Allegations: CUSTOMER VS. MEMBER FIRMS, REGISTERED REPS AND MANAGERS ALLEGING BREACH OF FIDUCIARY DUTY, UNAUTHORIZED MARGIN AND OTHER TRADING CHURNING, SECURITIES LAWS VIOLATIONS, FRAUD, INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS, UNSUITABLE RECOMMENDATIONS AND CIVIL THEFT. CLAIMANTS SEEK DAMAGES, INTEREST, COSTS, PUNITIVE DAMAGES AND ATTORNEYS FEES. DEAN WITHER REYNOLDS (DWR) IN ITS AMENDED ANSWER DATED FEB, 9, 1999 FILED A COUNTERCLAIM FOR OUT-OF-POCKET LOSSES AND ALLEGED DAMAGE TO REPUTATION, WRONGFUL INTERFERENCE WITH CONTRACTUAL AND BUSINESS RELATIONSHIPS, DWR SEEKS DAMAGES OF \$5,000.00 AND DEPOSITED A \$1,000 HEARING DEPOSIT. CLAIM CONSOLIDATED WITH PRUDENTIAL SECURITIES INC. (PSI) V [CUSTOMER] IN WHICH PSI ALLEGED BREACH OF SECURITIES AGREEMENT REGARDING MARGIN ACCOUNT AND NON-PAYMENT OF ACCOUNT DEFICIENCIES. DEAN WITTER FILED THIRD-PARTY CLAIMS EFFECTIVE APRIL 15, 1999 AGAINST [THIRD PARTY], SOCRATES TECHNOLOGIES CORPORATION, AND [THIRD PARTIES] ALLEGING PARTICIPATION IN A "FAILED SHORT-SQUEEZE," AND WRONGFUL INTERFERENCE WITH DWRS CONTRACTUAL AND BUSINESS RELATIONS; DWR SEEKS DAMAGES OF UP TO \$5,000.00 AND DEPOSITED A \$1,000 HEARING DEPOSIT, PRUDENTIAL SECURITIES AND [THIRD PARTY] BY LETTER OF JUNE 11, 1999 FILED A CROSS-CLAIM AGAINST MORGAN STANLEY DEAN WITTER (MSDW) FOR INDEMNIFICATION AND CONTRIBUTION AND DEPOSITED A \$1,000 HEARING DEPOSIT. EFFECTIVE 12/22/99 [CUSTOMER] V PSI ETAL (DOCKET #98-007375) AND [CUSTOMER] V PSI ETAL (DOCKET #98007327) WERE CONSOLIDATED WITH THIS CASE; CLAIMANTS IN ALL CASES MAKE SIMILAR ALLEGATIONS, RESPONDENTS IN ALL CASES ARE PRUDENTIAL SECURITIES INC., [THIRD PARTIES]. PSI ASSERTED SIMILAR COUNTER-CLAIMS IN ALL CASES. CLAIMANTS AT HEARING ASKED FOR AMOUNT OF \$6,454,369.00

Product Type: Other

Alleged Damages: \$3,000,000.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE - CASE #1998-007329

Date Notice/Process Served: 09/25/1998

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 05/16/2000

Disposition Detail: THE CLAIMS OF ALL CLAIMANTS BE AND HEREBY ARE DISMISSED IN ALL RESPECTS; THAT [CUSTOMER] SHALL PAY TO PRUDENTIAL SECURITIES \$11,082.43 AS AWARD ON THE COUNTERCLAIM; THAT [CUSTOMERS] SHALL PAY TO PRUDENTIAL SECURITIES \$299,212.17 AS AN AWARD ON THE COUNTERCLAIM,; THAT [CUSTOMER] SHALL PAY TO PRUDENTIAL SECURITIES \$288,116.51 AS AN AWARD ON THE COUNTERCLAIM; THAT [CUSTOMER] SHALL PAY TO PRUDENTIAL SECURITIES \$98,008.09 AS AN AWARD ON THE COUNTERCLAIM; THAT THE FORUM FEES FOR THIS PROCEEDING, \$28,000.00 ARE ASSESSED EQUALLY BETWEEN ALL CLAIMANTS AND RESPONDENT PRUDENTIAL SECURITIES. REMARKS: CLAIMANTS WITHDREW CLAIMS AGAINST RESPONDENTS [THIRD PARTIES] BY LETTER DATED 11/11/98 AND AGAINST RESPONDENT [THIRD PARTY] BY LETTER DATED 12/28/98. CLAIM OF MSDW AGAINST SOCRATES TECHNOLOGIES CORP. DISMISSED WITHOUT PREJUDICE BY STIPULATION DATED 7/21/99. CLAIM OF MSDW AGAINST [THIRD PARTY] DISMISSED WITHOUT PREJUDICE BY STIPULATION DATED 7/23/99. MSDW DISMISSED THIRD-PARTY CLAIMS WITHOUT PREJUDICE AGAINST [THIRD PARTIES] BY LETTER DATED 8/5/99. CLAIMANTS WITHDREW CLAIM AGAINST RESPONDENT PAUL GRANDE BY LETTER DATED 10/22/99 PRUDENTIAL SECURITIES SECURITIES WITHDREW CROSS CLAIMS AGAINST MSDW BY LETTER DATED 10/28/99. AT HEARING ON 11/2/99 PARTIES CONFIRMED CASE IS NOW [CUSTOMER] INDIVIDUALLY AND AS TRUSTEE AND [CUSTOMER] AS TRUSTEE VS. PRUDENTIAL SECURITIES INC. [THIRD PARTIES], PRUDENTIAL SECURITIES V. [CUSTOMER].

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CLAIMANTS ALLEGE, WITHOUT MERIT, THAT MR. GRANDE FAILED TO SUPERVISE THE ACTIVITIES OF [OTHER FIRM EMPLOYEE], A BROKER.

Product Type: Other



Other Product Type(s): EQUITIES
Alleged Damages: \$4,700,000.00

Customer Complaint Information

Date Complaint Received: 10/02/1998
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/30/1999
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE # 1998-007329
Date Notice/Process Served: 10/02/1998
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/30/1999
Monetary Compensation Amount: \$1,910,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER
Allegations: CLAIMANTS ALLEGE, WITHOUT MERIT, THAT MR. GRANDE FAILED TO SUPERVISE THE ACTIVITIES OF [OTHER FIRM EMPLOYEE], A BROKER.
Product Type: Other
Other Product Type(s): EQUITIES



Alleged Damages: \$7,000,000.00

Customer Complaint Information

Date Complaint Received: 10/02/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/10/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1998-007340

Date Notice/Process Served: 10/02/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/10/1999

Monetary Compensation Amount: \$3,531,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CLAIMANTS ALLEGE , WITHOUT MERIT, THAT MR. GRANDE FAILED TO SUPERVISE THE ACTIVITIES OF [OTHER FIRM EMPLOYEE], A BROKER.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$1,000,000.00



Customer Complaint Information

Date Complaint Received: 10/27/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/30/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1998-007369

Date Notice/Process Served: 10/27/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/30/1999

Monetary Compensation Amount: \$518,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CLAIMANT ALLEGES, WITHOUT MERIT, THAT MR. GRANDE FAILED TO SUPERVISE THE ACTIVITIES OF MARK RODGERS, A BROKER.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$500,000.00

Customer Complaint Information



Date Complaint Received: 10/30/1998
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/30/1999
Settlement Amount:
Individual Contribution Amount:
Arbitration Information
Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1998-007374
Date Notice/Process Served: 10/30/1998
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/30/1999
Monetary Compensation Amount: \$317,000.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER
Allegations: CLAIMANTS ALLEGE, WITHOUT MERIT, THAT MR. GRANDE FAILED TO SUPERVISE THE ACTIVITIES OF [OTHER FIRM EMPLOYEE], A BROKER.
Product Type: Other
Other Product Type(s): EQUITIES
Alleged Damages: \$1,100,000.00

Customer Complaint Information

Date Complaint Received: 11/04/1998



Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/30/1999
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE; 1998-007468
Date Notice/Process Served:	11/04/1998
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/30/1999
Monetary Compensation Amount:	\$805,000.00
Individual Contribution Amount:	\$0.00



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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	The client alleged the MN Life annuity she purchased in August 2016 at Securian Financial upon the recommendation of the Ameriprise advisor was not explained to her and was presented to her improperly.
Product Type:	Annuity-Variable
Alleged Damages:	\$15,986.95
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:	01/09/2017
Complaint Pending?	No
Status:	Denied
Status Date:	02/02/2017
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.



Allegations: CUSTOMERS ALLEGED THAT FINANCIAL ADVISOR FAILED TO DISCLOSE THE CHARACTERISTICS OF BOND INVESTMENT. ALLEGED DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE \$5,000 OR MORE.

Product Type: Debt - Corporate

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/26/2002

Complaint Pending? No

Status: Denied

Status Date: 04/21/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM WAS DENIED AS BEING ENTIRELY WITHOUT MERIT.

End of Report



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