

BrokerCheck Report

STEVEN MICHAEL ROFFMAN

CRD# 1673527

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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:
 - 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.

STEVEN M. ROFFMAN

CRD# 1673527

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:

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

Registration History

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

- B SUPREME ALLIANCE LLC**
CRD# 45348
CHARLOTTE, NC
01/2020 - 06/2020
- B CHELSEA FINANCIAL SERVICES**
CRD# 47770
STATEN ISLAND, NY
09/2019 - 12/2019
- B IFS SECURITIES**
CRD# 40375
ATLANTA, GA
03/2016 - 09/2019

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
Termination	1

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/16/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/11/1987

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 01/2020 - 06/2020	SUPREME ALLIANCE LLC	45348	CHARLOTTE, NC
B 09/2019 - 12/2019	CHELSEA FINANCIAL SERVICES	47770	STATEN ISLAND, NY
B 03/2016 - 09/2019	IFS SECURITIES	40375	ATLANTA, GA
B 03/2015 - 04/2016	AMERIPRISE FINANCIAL SERVICES, INC.	6363	JACKSONVILLE, FL
B 02/2013 - 03/2015	RAYMOND JAMES & ASSOCIATES, INC.	705	PONTE VEDRA BEACH, FL
B 04/2008 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	JACKSONVILLE, FL
B 10/2003 - 07/2008	NORTH COAST SECURITIES CORPORATION	35982	JACKSONVILLE, FL
B 04/2001 - 02/2004	FIRST ALLIED SECURITIES, INC.	32444	SAN DIEGO, CA
B 07/1999 - 03/2001	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
B 10/1995 - 07/1999	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 01/1993 - 10/1995	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 11/1990 - 01/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 10/1988 - 11/1990	INTERSTATE/JOHNSON LANE CORPORATION	431	CHARLOTTE, NC
B 05/1987 - 10/1988	JOHNSON, LANE, SPACE, SMITH & CO., INC.	472	

Employment History



Registration and Employment History

Employment History, continued

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
12/2019 - Present	Supreme Alliance LLC	Registered Rep	Y	WEST PALM BEACH, FL, United States
09/2019 - 12/2019	Chelsea Financial Services	Registered Representative	Y	Staten Island, NY, United States
03/2016 - 09/2019	IFS Securities Inc.	Registered Representative	Y	Jacksonville, FL, United States
03/2015 - 03/2016	AMERIPRISE FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	JACKSONVILLE, 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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Termination	N/A	1	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: FINRA

Sanction(s) Sought:

Date Initiated: 06/20/2019

Docket/Case Number: 2016049686501

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

Product Type: Other: unspecified securities

Allegations: Without admitting or denying the findings, Roffman consented to the sanctions and to the entry of findings that he executed unauthorized transactions in one customer's account. The findings stated that Roffman's trading resulted in \$447.85 in losses in the customer's account. Roffman earned a total of \$80 in commissions from the unauthorized trades. The findings also stated that Roffman mismarked order tickets in the accounts of customers as unsolicited, when, in fact, the trades were solicited. Roffman thereby caused the member firm to violate Exchange Act Rule 17a-3 through mismarking trades as "unsolicited" when they were actually solicited.

Current Status: Final



Resolution:	Acceptance, Waiver & Consent(AWC)
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:	06/20/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Restitution Suspension
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 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	45 days
Start Date:	07/15/2019
End Date:	08/28/2019

**Monetary Sanction 1 of 3****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$7,500.00**Portion Levied against individual:** \$7,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 07/29/2019**Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 2 of 3****Monetary Related Sanction:** Restitution**Total Amount:** \$447.85**Portion Levied against individual:** \$447.85**Payment Plan:** plus interest**Is Payment Plan Current:****Date Paid by individual:** 07/29/2019**Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 3 of 3****Monetary Related Sanction:** Disgorgement**Total Amount:** \$80.00**Portion Levied against individual:** \$80.00**Payment Plan:** plus interest**Is Payment Plan Current:****Date Paid by individual:** 07/29/2019



Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fines paid in full on July 29, 2019.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 06/20/2019

Docket/Case Number: 2016049686501

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

Product Type: Other: Unspecified securities

Allegations: Without admitting or denying the findings, Roffman consented to the sanctions and to the entry of findings that he executed unauthorized transactions in one customer's account. The findings stated that Roffman's trading resulted in \$447.85 in losses in the customer's account. Roffman earned a total of \$80 in commissions from the unauthorized trades. The findings also stated that Roffman mismarked order tickets in the accounts of customers as unsolicited, when, in fact, the trades were solicited. Roffman thereby caused the member firm to violate Exchange Act Rule 17a-3 through mismarking trades as "unsolicited" when they were actually solicited.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 06/20/2019



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
 Disgorgement
 Restitution
 Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: all capacities

Duration: 45 day

Start Date: 07/15/2019

End Date: 08/28/2019

Monetary Sanction 1 of 3

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 07/29/2019

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 3

Monetary Related Sanction: Restitution

Total Amount: \$447.85

Portion Levied against individual: \$447.85

Payment Plan: plus interest

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No



Amount Waived:

Monetary Sanction 3 of 3

Monetary Related Sanction: Disgorgement

Total Amount: \$80.00

Portion Levied against individual: \$80.00

Payment Plan: plus interest

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



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:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	CLAIM ALLEGES UNSUITABILITY, UNAUTHORIZED TRADING, CHURNING, RECOMMENDATIONS FOR EXCESSIVE IRA DISTRIBUTIONS THAT CAUSED ADVERSE TAX CONSEQUENCES AND EXPLOITATION OF AN ELDERLY PERSON, OCCURRING BETWEEN 2008 AND 2012.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-01191
Date Notice/Process Served:	04/11/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/17/2012
Monetary Compensation Amount:	\$65,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	I HAD A CLOSE PERSONAL RELATIONSHIP WITH [customer] FOR OVER 22 YEARS. HE TRADED HIS ACCOUNTS CONSISTENT WITH HIS PREAPPROVED SPECULATIVE OBJECTIVES, ALL WITHOUT A COMPLAINT OF ANY KIND. WE MET FREQUENTLY AND HE WAS AWARE OF ALL THE



ACTIVITY IN HIS ACCOUNTS. I PROVIDE HIM WITH ANNUAL COST BASIS INFORMATION. AT NO TIME DID I VIOLATE COMPANY POLICY OR RECEIVE ANY WRITTEN OR VERBAL NOTICE FROM MORGAN KEEGAN OR [customer] CONCERNING HIS ACCOUNTS. I BELIEVE THIS CLAIM IS TOTALLY WITHOUT MERIT. THE FIRM SETTLED THIS FOR BUSINESS REASONS FOR THE PURPOSE OF AVOIDING THE BURDEN, INCONVENIENCE AND EXPENSE OF LITIGATION. MORGAN KEEGAN DID NOT HOLD ME RESPONSIBLE IN ANY WAY WHICH SHOWS I DID NOTHING WRONG.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT ALLEDGED TRADING IN HER ACCOUNT WAS UNAUTHORIZED AND UNSUITABLE; AND IMPROPER SWITCH OF ANNUITY, WITH ALLEDGED DAMAGES IN EXCESS OF \$35,000.00.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received: 06/12/1998

Complaint Pending? No

Status: Settled

Status Date: 03/22/1999

Settlement Amount: \$12,000.00

Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER WAS SETTLED FOR \$12,000.00 FOR BUSINESS REASONS. I DID NOT CONTRIBUTE TO THE SETTLEMENT. PRUDENTIAL SETTLED THIS MATTER FOR "BUSINESS REASONS". THEY DID NOT HOLD ME RESPONSIBLE IN ANY WAY; WHICH SHOWS I DID NOTHING WRONG. THIS CLIENT WAS AN X-IRS EMPLOYEE WHO WAS WELL AWARE OF ALL THE RISKS AND ACKNOWLEDGED THEM IN WRITING. I BELIEVE HER CLAIM WAS TOTALLY WITHOUT MERIT.



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: Firm

Employing firm when activities occurred which led to the complaint: PSI INCORP.

Allegations: FORMER PSI CLIENT ALLEGES, THROUGH HER DAUGHTER THAT THE TRADES IN HER ACCOUNT WERE UNSUITABLE AND UNAUTHORIZED. CLIENT TAKE NO FURTHER ACTION. PSI HAS CLOSED THIS MATTER. DAMAGES WERE NOT UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/27/1999

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/10/2000

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: FORMER PSI CLIENT ALLEGES, THROUGH HER DAUGHTER, THAT THE TRADES IN HER ACCOUNT WERE UNSUITABLE AND UNAUTHORIZED. ALLEGED DAMAGES EXCEED \$5,000. CLIENT TO TAKE NO FURTHER ACTION. PSI HAS CLOSED THIS MATTER.

Product Type: Equity Listed (Common & Preferred Stock)

**Alleged Damages:****Customer Complaint Information**

Date Complaint Received: 04/27/1999

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/10/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER'S ACCOUNT WAS HANDLED CONSISTANT WITH HER INVESTMENT OBJECTIVES. SHE WANTED TO MAKE MORE MONEY, I ALWAYS EITHER SPOKE TO HER OR MET WITH HER PRIOR TO ANY SECURITIES BEING BOUGHT OR SOLD. SHE NEVER VOICED ANY DISSATISFACTION TO ME REGARDING HER ACCOUNT. SHE WAS SO HAPPY WITH ME THAT ON APRIL 8, 1998 SHE INVITED ME TO MAKE A PRESENTATION TO HER INVESTMENT CLUB "THE EXON ANNUITANTS". CUSTOMER INTRODUCED ME TO THE MEMBERS OF THE CLUB AS HER "WONDERFUL BROKER" AND RECOMENDED ME TO ALL 36 MEMBERS WHO ATTENDED. IN SUM I BELIEVE THESE CLAIMS TO BE WITHOUT MERIT.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL

Allegations: CLIENT ALLEGES UNSUITABILITY AND UNAUTHORIZED TRADING IN CONNECTION WITH PURCHASES OF SECURITIES AT PRIOR FIRM AND SUBSEQUENT SALES AT PSI WITH ALLEGED DAMAGES OF \$14,030.00

Product Type:

Alleged Damages: \$14,030.00

Customer Complaint Information

Date Complaint Received: 06/12/1998

Complaint Pending? No



Status:	Denied
Status Date:	07/09/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	PRUDENTIAL DENIED THE CLAIM AND I HAVE HEARD NOTHING FURTHER FROM THE CLIENT. THEREFORE I CONSIDER THIS MATTER CLOSED. SEE PREVIOUS FILING



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: Firm

Employer Name: Ameriprise Financial Services, Inc.

Termination Type: Discharged

Termination Date: 03/22/2016

Allegations: The registered representative was terminated by the firm on March 22, 2016 for company policy violations relating to unauthorized use of discretion, solicitation of inverse and leveraged securities, and mismarking trade tickets as unsolicited.

Product Type: Other: Inverse and Leveraged Securities

Reporting Source: Broker

Employer Name: Ameriprise Financial

Termination Type: Discharged

Termination Date: 03/22/2016

Allegations: Ameriprise alleged I Violated company compliance rules and procedures regarding a client. I deny the allegation

Product Type: No Product

End of Report



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