

## BrokerCheck Report

**JOHN RIZZO**

CRD# 2211860

| <u>Section Title</u>                | <u>Page(s)</u> |
|-------------------------------------|----------------|
| Report Summary                      | 1              |
| Broker Qualifications               | 2 - 3          |
| Registration and Employment History | 5 - 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**JOHN RIZZO**

CRD# 2211860

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

**IA AMERIPRISE FINANCIAL SERVICES, LLC**  
 MANALAPAN, NJ  
 CRD# 6363  
 Registered with this firm since: 07/10/2015

**B AMERIPRISE FINANCIAL SERVICES, LLC**  
 200 CAMPUS DR STE 150  
 FLORHAM PARK, NJ 07932-1007  
 CRD# 6363  
 Registered with this firm since: 02/06/2013

**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
- 1 U.S. state or territory

**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):**

**B VIEWTRADE SECURITIES, INC.**  
 CRD# 46987  
 JERSEY CITY, NJ  
 01/2010 - 10/2012

**IA MERCADIEN ASSET MANAGEMENT, LLC**  
 CRD# 121546  
 HAMILTON, NJ  
 02/2007 - 11/2007

**B MERCADIEN SECURITIES**  
 CRD# 122461  
 HAMILTON, NJ  
 01/2007 - 11/2007

**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     |



## 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 1 U.S. state or territory 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 | Financial and Operations Principal | Approved | 02/06/2013 |
| B | FINRA | General Securities Principal       | Approved | 02/06/2013 |
| B | FINRA | General Securities Representative  | Approved | 02/06/2013 |
| B | FINRA | Operations Professional            | Approved | 10/01/2018 |

|    | U.S. State/ Territory | Category                          | Status   | Date       |
|----|-----------------------|-----------------------------------|----------|------------|
| B  | New Jersey            | Agent                             | Approved | 02/12/2013 |
| IA | New Jersey            | Investment Adviser Representative | Approved | 07/10/2015 |

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
200 CAMPUS DR STE 150  
FLORHAM PARK, NJ 07932-1007

**AMERIPRISE FINANCIAL SERVICES, LLC**  
MANALAPAN, 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>B</b> General Securities Principal Examination       | Series 24 | 10/29/1992 |
| <b>B</b> Financial and Operations Principal Examination | Series 27 | 03/04/1992 |

### General Industry/Product Exams

| Exam                                                   | Category    | Date       |
|--------------------------------------------------------|-------------|------------|
| <b>B</b> Operations Professional Examination           | Series 99TO | 01/02/2023 |
| <b>B</b> Securities Industry Essentials Examination    | SIE         | 10/01/2018 |
| <b>B</b> General Securities Representative Examination | Series 7    | 10/02/1992 |

### State Securities Law Exams

| Exam                                                    | Category  | Date       |
|---------------------------------------------------------|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination    | Series 65 | 07/09/2015 |
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 05/07/2011 |

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/](http://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>B</b> 01/2010 - 10/2012  | VIEWTRADE SECURITIES, INC.                       | 46987  | JERSEY CITY, NJ |
| <b>IA</b> 02/2007 - 11/2007 | MERCADIEN ASSET MANAGEMENT, LLC                  | 121546 | HAMILTON, NJ    |
| <b>B</b> 01/2007 - 11/2007  | MERCADIEN SECURITIES                             | 122461 | HAMILTON, NJ    |
| <b>B</b> 02/2006 - 07/2006  | HOLD BROTHERS ON-LINE INVESTMENT SERVICES L.L.C. | 36816  | JERSEY CITY, NJ |
| <b>B</b> 10/2005 - 03/2006  | METLIFE SECURITIES INC.                          | 14251  | SPRINGFIELD, MA |
| <b>B</b> 10/2005 - 03/2006  | METROPOLITAN LIFE INSURANCE COMPANY              | 4095   | NEW YORK, NY    |
| <b>B</b> 08/1999 - 03/2005  | KAUFMAN BROS., L.P.                              | 37909  | NEW YORK, NY    |
| <b>B</b> 06/1996 - 03/1999  | BARINGTON CAPITAL GROUP, L.P.                    | 29383  | NEW YORK, NY    |
| <b>B</b> 05/1992 - 04/1996  | COMMERZBANK CAPITAL MARKETS CORP.                | 21787  | 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                  | Red Bank, NJ, United States |
| 02/2013 - 03/2020 | Ameriprise Financial Services, Inc. | Registered Rep | Y                  | Matawan, 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.

# Registration and Employment History

---



## 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         |



## 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

|                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                         | Regulator                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Regulatory Action Initiated By:</b>                                           | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Sanction(s) Sought:</b>                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Other Sanction(s) Sought:</b>                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Date Initiated:</b>                                                           | 05/04/1999                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Docket/Case Number:</b>                                                       | C04990018                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | BARINGTON CAPITAL GROUP, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Product Type:</b>                                                             | Other                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Other Product Type(s):</b>                                                    | UNKNOWN TYPE OF SECURITIES                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Allegations:</b>                                                              | NASD RULES 2110, IM-2110-1, 3010 AND SEC RULES 10B-9 AND 15C2-4 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE, ACTING THROUGH RESPONDENT MEMBER, ACTED AS PLACEMENT AGENT FOR PRIVATE OFFERINGS WHERE, DURING THE CONTINGENCY PERIOD OF THE OFFERINGS, RESPONDENT, ACTING THROUGH RESPONDENT MEMBER, CONTRAVENED SEC RULE 15C2-4 IN THAT INVESTORS' MONIES WERE DEPOSITED INTO A FIRM OPERATING ACCOUNT RATHER THAN AN |



INDEPENDENT ESCROW OR AGENCY ACCOUNT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/04/1999

**Sanctions Ordered:** Censure  
Monetary/Fine \$2,000.00

**Other Sanctions Ordered:**

**Sanction Details:** RESPONDENT RIZZO IS CENSURED AND FINED \$2,000, JOINTLY AND SEVERALLY.

---

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:** FINE OF \$2,000.00

**Date Initiated:** 05/01/1999

**Docket/Case Number:** C04990018

**Employing firm when activity occurred which led to the regulatory action:** BARINGTON CAPITAL GROUP, L.P.

**Product Type:** Other

**Other Product Type(s):** INVESTMENT BANKING  
RETAIL SALES  
MARKET MAKING

**Allegations:** CONTRAVENED SEC RULE 15C2-4

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/03/1999

**Sanctions Ordered:** Monetary/Fine \$2,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

\$2,000 JOINT AND SEVERAL FINE

**Broker Statement**

MY MISINTERPRETATION OF SEC RULE 15C2-4 LED TO THE VIOLATION. I DID NOT CONSIDER BRIDGE LOAN OFFERINGS TO BE UNDERWRITINGS AS DEFINED IN THE RULE. A SEPERATE BANK ACCOUNT WAS OPENED FOR THE DEAL, CUSTOMER FUNDS WERE NOT COMINGLED WITH FIRM FUNDS BUT, IT WAS NOT DESIGNATED AS AN ESCROW ACCOUNT. THE PROBLEM WAS CORRECTED IMMEDIATELY UPON NOTIFICATION BY THE NASD EXAMINERS. THEY LED ME TO BELIEVE THAT THIS WAS MINOR AND NOT GOING TO BE WRITTEN UP FORMALLY. I WAS SHOCKED WHEN I SAW THE FINAL REPORT. THIS IS MY FIRST ISSUE IN 12+ YEARS.

## End of Report



**This page is intentionally left blank.**