BrokerCheck Report

DOREEN MARCIA SCOTT

CRD# 2671898

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.
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Thank you for using FINRA BrokerCheck.

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.

DOREEN M. SCOTT

CRD# 2671898

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
10537 State Rd 54
Unit B
New Port Richey, FL 34655
CRD# 6363
Registered with this firm since: 10/05/2009

B **AMERIPRISE FINANCIAL SERVICES, LLC**
10537 State Rd 54
Unit B
New Port Richey, FL 34655-2293
CRD# 6363
Registered with this firm since: 10/05/2009

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
- 24 U.S. states and territories

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):

IA **AMERIPRISE ADVISOR SERVICES, INC.**
CRD# 5979
DETROIT, MI
06/2009 - 10/2009

B **AMERIPRISE ADVISOR SERVICES, INC.**
CRD# 5979
NEW PORT RICHEY, FL
11/1995 - 10/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
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 24 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH**
MINNEAPOLIS, MN 55402

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/05/2009
B	FINRA	General Securities Sales Supervisor	Approved	10/05/2009
B	FINRA	Municipal Securities Representative	Approved	10/05/2009

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/25/2021
B	Arizona	Agent	Approved	05/28/2024
B	California	Agent	Approved	10/05/2009
B	Colorado	Agent	Approved	03/17/2017
B	Connecticut	Agent	Approved	01/04/2021
B	Florida	Agent	Approved	10/05/2009
IA	Florida	Investment Adviser Representative	Approved	10/05/2009
B	Georgia	Agent	Approved	11/22/2024
B	Illinois	Agent	Approved	10/05/2009
B	Louisiana	Agent	Approved	10/27/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	10/05/2009
B	Michigan	Agent	Approved	10/05/2009
B	Minnesota	Agent	Approved	10/06/2022
B	New Jersey	Agent	Approved	10/05/2009
B	New York	Agent	Approved	10/05/2009
B	North Carolina	Agent	Approved	01/05/2021
B	Ohio	Agent	Approved	09/23/2011
B	Oklahoma	Agent	Approved	01/03/2014
B	Oregon	Agent	Approved	04/12/2023
B	Pennsylvania	Agent	Approved	10/05/2009
B	South Carolina	Agent	Approved	01/09/2019
B	Tennessee	Agent	Approved	09/26/2023
B	Texas	Agent	Approved	09/16/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/15/2025
B	Virginia	Agent	Approved	10/05/2009
B	Washington	Agent	Approved	09/06/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
10537 State Rd 54
Unit B
New Port Richey, FL 34655-2293

AMERIPRISE FINANCIAL SERVICES, LLC

Broker Qualifications

Employment 1 of 1, continued

TRINITY, FL

AMERIPRISE FINANCIAL SERVICES, LLC
1904 W Main St
Inverness, FL 34452

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 - Options Module Examination	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/17/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	12/21/2008
B	General Securities Representative Examination	Series 7	04/09/1996
B	Municipal Securities Representative Examination	Series 52	11/14/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	06/09/2009
B	Uniform Securities Agent State Law Examination	Series 63	05/03/1996

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
IA	06/2009 - 10/2009	AMERIPRISE ADVISOR SERVICES, INC.	5979	NEW PORT RICHEY, FL
B	11/1995 - 10/2009	AMERIPRISE ADVISOR SERVICES, INC.	5979	NEW PORT RICHEY, FL

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	New Port Richey, FL, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	New Port Richey, 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.

Real Estate Ownership; Lot/Land; Hernando County Florida 6 lots, ,; ; / Lot/Land; Citrus county Florida 6 lots, ,; ; / Lot/Land; New Mecixo 2 lots, ,; ; / Lot/Land; Vacant lot located at 100 North 14th Street, Leesburg, Florida 3, ,; Investment-Related; 06/03/2014. Business Ownership; IonaAlice LLC; Owner. Investment Advisor; This company is being established for me to transfer funds from my individual account to be able to pay the expenses that I will incur with the Ameriprise Franchise office that I am opening up this month.; 4807 US Hwy 19 ste 206, , New Port Richey, FL, 34652; Investment-Related; 05/27/2015; 20 to 39 hours per month; 20 to 39 during trading hours / Iona Foundation; Management; Charitable Foundation; 2107 Hammock Park Ct, , Trinity, FL, 34655; Not Investment-Related; 06/01/2017; 0 hours per month; 0 during trading hours / Scons LLC; Owner; Real estate development; 2107 Hamock Park Ct, , Trinity, FL, 34655; Investment-Related; 11/20/2007; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Iona Foundation; Not for profit community service; 2107 Hammock Park CtTrinity, FL. 34655, ,; Not Investment-Related; 08/18/2018; 1 to 9 hours per month; 1 to 9 during trading hours.

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.
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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
Customer Dispute	0	7	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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	CLAIMANTS ALLEGE RESPONDENTS MISREPRESENTED THE VARIABLE ANNUITIES THEY PURCHASED BY ASSURING THEM THAT THE ANNUITIES INCLUDED A GUARANTEED MINIMUM DEATH BENEFIT. FURTHERMORE, CLAIMANTS ALLEGE THAT RESPONDENTS UNSUITABLY OVER-CONCENTRATED THEIR INVESTMENTS IN EQUITIES AND THIS ALLEGEDLY CAUSED THEM TO SUSTAIN DAMAGES. CLAIMANTS CAUSES OF ACTION INCLUDE: VIOLATION OF THE FL SECURITIES AND INVESTOR PROTECTION ACT; FRAUD; BREACH OF FIDUCIARY DUTY; NEGLIGENCE, AND BREACH OF CONTRACT. THEY REQUEST UNSPECIFIED DAMAGES BETWEEN $100,000 AND $499,999.99, PLUS INTEREST, COSTS AND FEES.
Product Type:	Annuity-Variable
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS REQUEST UNSPECIFIED DAMAGES BETWEEN $100,000 AND $499,999.99, PLUS INTEREST, COSTS AND FEES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	FINRA - NY
Docket/Case #:	12-02559
Filing date of arbitration/CFTC reparation or civil litigation:	08/13/2012

Customer Complaint Information

Date Complaint Received:	08/13/2012
Complaint Pending?	No
Status:	Settled
Status Date:	12/20/2013
Settlement Amount:	$30,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AMERIPRISE SETTLED THIS CASE TO AVOID THE COSTS ASSOCIATED WITH FINRA ARBITRATION. I WAS DISMISSED FROM THE CASE AS PART OF THE SETTLEMENT.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION AS TO AT&T'S OBLIGATION TO BUY BACK AT&T CANADA INC. CL B DEBENTURES. ON 09/05/2001, CUSTOMER PURCHASED 16 DEBENTURES.
Product Type:	Debt - Corporate
Alleged Damages:	$12,500.00

Customer Complaint Information

Date Complaint Received:	09/18/2002
Complaint Pending?	No
Status:	Settled

Status Date:	12/18/2002
Settlement Amount:	$9,500.00
Individual Contribution Amount:	$0.00
Broker Statement	TAKING INTO CONSIDERATION THE AMOUNT INVOLVED AND THE COSTS OF PROCEEDING TO ARBITRATION, THE FIRM AND THE CUSTOMERS AGREED TO SETTLE THE MATTER.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OLDE DISCOUNT CORPORATION
Allegations:	MISREPRESENTATION OF EUROPEAN AMERICAN BANK CD PURCHASED ON JANUARY 04, 1999. OMISSION OF FACT REGARDING MATURITY DATE AND UNSUITABILITY. CUSTOMER DOES NOT SPECIFY DAMAGE AMOUNT HOWEVER, ACTUAL VALUE OF INVESTMENT AS OF FEBRUARY 07, 2000 IS $7650.00.
Product Type:	CD(s)
Alleged Damages:	$7,650.00

Customer Complaint Information

Date Complaint Received:	01/26/2000
Complaint Pending?	No
Status:	Settled
Status Date:	04/28/2000
Settlement Amount:	$3,600.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM MADE A BUSINESS DECISION TO SETTLE THE MATTER. THE DECISION TO SETTLE WAS BASED ON THE AMOUNT INVOLVED TOGETHER WITH THE COST OF PROCEEDING TO ARBITRATION AND WAS NOT AN ADMISSION OF LIABILITY OR WRONGDOING.

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 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, LLC
Allegations:	The client alleged that the advisor informed her that her NQ Jackson Life Variable annuity and Talcott Variable annuity would provide guaranteed income for life at the time of purchase.
Product Type:	Annuity-Variable
Alleged Damages:	$426,560.00
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:	05/28/2025
Complaint Pending?	No
Status:	Denied
Status Date:	06/10/2025
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.

Allegations:	The client alleged the advisor never discussed not moving more than one IRA in one year for tax reasons due to a new tax law in 2015.
Product Type:	No Product
Alleged Damages:	$10,603.00
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:	08/16/2016
Complaint Pending?	No
Status:	Denied
Status Date:	10/03/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations:	CUSTOMER ALLEGED MISREPRESENTATION, FAILURE TO FOLLOW INSTRUCTIONS AND ACCOUNT MISMANAGEMENT IN CONNECTION WITH ANNUITIES PURCHASED IN 2004 AND SEPTEMBER 2005. THE CUSTOMER DID NOT ALLEGE A DAMAGE AMOUNT.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	02/21/2006
Complaint Pending?	No
Status:	Denied

Status Date:	03/17/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM REVIEWED THE MATTER AND DETERMINED THAT THE ALLEGATIONS ARE WITHOUT MERIT. ANNUITY DOCUMENTATION, ACKNOWLEDGEMENTS AND RECEIPTS SIGNED BY THE CLIENT EVIDENCE HER KNOWLEDGE OF THE NATURE OF THE INVESTMENTS.

Disclosure 4 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations:	CUSTOMER ALLEGES UNSUITABILITY OF ASSET ALLOCATIONS AND BEING GIVEN IMPROPER INVESTMENT ADVICE BETWEEN 01/01/2000 AND 01/31/2003. THE CUSTOMER DOES NOT SPECIFY THE TRANSACTIONS INVOLVED.
Product Type:	Equity - OTC
Alleged Damages:	$355,821.62

Customer Complaint Information

Date Complaint Received:	06/11/2003
Complaint Pending?	No
Status:	Denied
Status Date:	07/21/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM REVIEWED THE MATTER, DETERMINED THAT THE ALLEGATIONS ARE WITHOUT MERIT AND DENIED THE CLAIM. THE CUSTOMER DECLINED AN INVITATION TO REVIEW HER ACCOUNT PORTFOLIO AND STATED ON SEVERAL OCCASIONS THAT SHE DID HER OWN RESEARCH AND MADE ALL THE INVESTMENT DECISIONS. THE CUSTOMER ONLY INVESTED IN TWO OF THE RECOMMENDATIONS MADE OVER THE COURSE OF A 4 YEAR

PERIOD. THE TOTAL PURCHASE PRICE OF THE TWO INVESTMENTS WAS $10,000 AND COMPRISED APPROXIMATELY ONE PERCENT OF THE CUSTOMER'S STATED NET WORTH AT THE TIME. THE LOSSES WERE CAUSED BY MARKET CONDITIONS, NOT WRONGDOING.

End of Report

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