

BrokerCheck Report

DENNIS JAY PERSKY

CRD# 708583

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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.](http://www.finra.org)

**DENNIS J. PERSKY**

CRD# 708583

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 14755 N OUTER 40 RD
 STE 500
 CHESTERFIELD, MO 63017
 CRD# 6363
 Registered with this firm since: 06/19/2015

B AMERIPRISE FINANCIAL SERVICES, LLC
 14755 N OUTER 40 RD
 STE 500
 CHESTERFIELD, MO 63017
 CRD# 6363
 Registered with this firm since: 06/19/2015

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
- 17 U.S. states and territories

This broker has passed:

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

Registration History

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

- B STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 CHESTERFIELD, MO
 10/2002 - 06/2015
- IA STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 ST LOUIS, MO
 10/2002 - 06/2015
- IA UBS PAINWEBBER INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 03/2000 - 10/2002

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	2
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 individual is currently registered with 1 SRO and is licensed in 17 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	06/19/2015

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/04/2015
B	California	Agent	Approved	06/24/2015
B	Colorado	Agent	Approved	08/18/2015
B	Florida	Agent	Approved	06/19/2015
B	Illinois	Agent	Approved	06/19/2015
B	Kentucky	Agent	Approved	06/19/2015
B	Louisiana	Agent	Approved	07/29/2015
B	Michigan	Agent	Approved	09/04/2015
B	Missouri	Agent	Approved	07/20/2015
IA	Missouri	Investment Adviser Representative	Approved	07/20/2015
B	Nevada	Agent	Approved	09/30/2025
B	New Jersey	Agent	Approved	06/19/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	06/19/2015
B	Oregon	Agent	Approved	08/31/2020
B	Texas	Agent	Approved	06/19/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	06/22/2015
B	Utah	Agent	Approved	06/19/2015
B	Wisconsin	Agent	Approved	06/19/2015
B	Wyoming	Agent	Approved	10/06/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

14755 N OUTER 40 RD
STE 500
CHESTERFIELD, MO 63017

AMERIPRISE FINANCIAL SERVICES, LLC

Chesterfield, MO



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

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 National Commodity Futures Examination	Series 3	04/12/1984
B Foreign Currency Options Examination	Series 15	03/07/1983
B General Securities Representative Examination	Series 7	05/17/1980

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/17/1999
B Uniform Securities Agent State Law Examination	Series 63	06/11/1980

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 10/2002 - 06/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	CHESTERFIELD, MO
IA 10/2002 - 06/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	CHESTERFIELD, MO
IA 03/2000 - 10/2002	UBS PAINWEBBER INC.	8174	CHESTERFIELD, MO
B 03/2000 - 10/2002	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ
B 12/1981 - 03/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 05/1980 - 01/1982	DEAN WITTER REYNOLDS INC.	7556	

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	Chesterfield, MO, United States
06/2015 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Chesterfield, MO, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	2	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:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/25/2004
Docket/Case Number:	C04040028
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES PRODUCT
Allegations:	NASD CONDUCT RULES 2110 AND 2510(B) - RESPONDENT DENNIS PERSKY EFFECTED, OR CAUSED TO BE EFFECTED, NUMEROUS TRANSACTIONS IN THREE CUSTOMER ACCOUNTS ON A DISCRETIONARY BASIS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND WRITTEN ACCEPTANCE BY HIS MEMBER FIRM OF THE ACCOUNTS AS DISCRETIONARY ACCOUNTS.
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: 05/25/2004

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT PERSKY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$5,000.

Reporting Source: Firm

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Censure

Other Sanction(s) Sought: FINE

Date Initiated: 05/25/2004

Docket/Case Number: C04040028

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES INC.

Product Type: Other

Other Product Type(s): UNSPECIFIED SECURITIES PRODUCT

Allegations: NASD CONDUCT RULES 2110 AND 2510(B) - RESPONDENT DENNIS PERSKY EFFECTED, OR CAUSED TO BE EFFECTED, NUMEROUS TRANSACTIONS IN THREE CUSTOMER ACCOUNTS ON A DISCRETIONARY BASIS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND WRITTEN ACCEPTANCE BY HIS MEMBER FIRM OF THE ACCOUNTS AS DISCRETIONARY ACCOUNTS.



Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/25/2004

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT PERSKY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$5,000.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 05/25/2004

Docket/Case Number: C04040028

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES INC.

Product Type: Other

Other Product Type(s): UNSPECIFIED SECURITIES PRODUCT.

Allegations: NASD CONDUCT RULES 2110 AND 2510(B0-RESPONDENT DENNIS PERSKY EFFECTED, OR CAUSED TO BE EFFECTED, NUMEROUS TRANSACTIONS IN THREE CUSTOMER ACCOUNTS ON A DISCRETIONARY BASIS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND WRITTEN ACCEPTANCE BY HIS MEMBER FIRM OF THE ACCOUNTS AS DISCRETIONARY ACCOUNTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/25/2004



Sanctions Ordered:

Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT PERSKY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$5,000.00.



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGES FINANCIAL ADVISOR RECOMMENDED UNSUITABLE INVESTMENTS. TIME PERIOD 10/99 - FORWARD. DAMAGES ESTIMATED TO EXCEED \$5000.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/23/2002

Complaint Pending? No

Status: Settled

Status Date: 05/04/2003

Settlement Amount: \$9,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES FINANCIAL ADVISOR RECOMMENDED UNSUITABLE INVESTMENTS. TIME PERIOD 10/99-FORWARD. DAMAAGES ESTIMATED TO EXCEED \$5000.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information



Date Complaint Received:	10/23/2002
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2003
Settlement Amount:	\$9,500.00
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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: COMPLAINT BY ATTORNEY FOR CLIENT ALLEGES THAT THE BROKER "NEVER TOLD CUSTOMER THAT HIS ACCOUNT WAS LOSING MONEY, THAT HIS ACCOUNT WAS OVER-CONCENTRATED IN HIGHLY RISKY TECH' STOCKS, THAT HE WAS EXCESSIVELY TRADING CUSTOMER'S ACCOUNT (INCONSISTENT WITH [CUSTOMER'S] CONSERVATIVE INVESTMENT OBJECTIVES AND NEEDS) IN ORDER TO GENERATE COMMISSIONS, AND THAT HIS ACCOUNT WAS HEAVILY MARGINED. TIME PERIOD IS 1999-2002.

Product Type: Equity - OTC

Alleged Damages: \$315,000.00

Customer Complaint Information

Date Complaint Received: 09/13/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/12/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: COMPLAINT BY ATTORNEY FOR CLIENT ALLEGES THAT THE BROKER "NEVER TOLD CLIENT THAT HIS ACCT WAS LOSING MONEY, THAT HIS ACCOUNT WAS OVER-CONCENTRATED IN HIGHLY RISKY 'TECH' STOCKS,



THAT HE WAS EXCESSIVELY TRADING CLIENT ACCOUNT(INCONSISTENT WITH CLIENT CONSERVATIVE INVESTMENT OBJECTIVES AND NEEDS) IN ORDER TO GENERATE COMMISSIONS, AND THAT HIS ACCOUNT WAS HEAVILY MARGINED. TIME PERIOD IS 1999-2002.

Product Type: Equity - OTC

Alleged Damages: \$315,000.00

Customer Complaint Information

Date Complaint Received: 09/13/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/12/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLIENT WAS A LONG TIME FRIEND WHO WAS VERY AGGRESSIVE FROM THE BEGINNING, ALL 12-15 YEARS AT PRUDENTIAL SECURITIES AND 3 YEARS AT UBS. ACCOUNT WAS MARKED AGGRESSIVE AND CLIENT WAS CONSISTENT WITH THAT TYPE OF TRADING FOR 15 YEARS. CLIENT REQUESTED HEAVY WEIGHTING IN TECHNOLOGY AND WAS EXTREMELY KNOWLEDGEABLE. BORROWED FROM ACCOUNT FOR MAJOR PURCHASES, THUS LOSSES ARE MISSTATED.



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: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 09/23/2002

Allegations: TRADING WITHOUT WRITTEN DISCRETION AND THE SUBMISSION OF INACCURATE PAPERWORK RELATING TO EXPENSE REPORTS.

Product Type: Other

Other Product Types: UNSPECIFIED

Reporting Source: Broker

Employer Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 09/23/2002

Allegations: TRADING WITHOUT WRITTEN DISCRETION AND THE SUBMISSION OF INACCURATE PAPERWORK RELATING TO EXPENSE REPORTS.

Product Type: Other

Other Product Types: UNSPECIFIED

End of Report



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