

BrokerCheck Report
GABRIEL PLAUT
 CRD# 874173

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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.



GABRIEL PLAUT

CRD# 874173

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 1001 Franklin Ave Ste 302
 Garden City, NY 11530
 CRD# 6363
 Registered with this firm since: 04/16/2021

B AMERIPRISE FINANCIAL SERVICES, LLC
 1001 Franklin Ave Ste 302
 Garden City, NY 11530
 CRD# 6363
 Registered with this firm since: 11/15/2012

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
- 10 U.S. states and territories

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 GILFORD SECURITIES INCORPORATED**
 CRD# 8076
 MELVILLE, NY
 03/2003 - 12/2012
- B KSH INVESTMENT GROUP, INC.**
 CRD# 41817
 GREAT NECK, NY
 11/1998 - 03/2003
- B NATIONAL SECURITIES CORPORATION**
 CRD# 7569
 BOCA RATON, FL
 07/1998 - 10/1998

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



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 10 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	11/15/2012

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/15/2012
B	Florida	Agent	Approved	09/27/2016
B	Illinois	Agent	Approved	02/03/2015
B	Maryland	Agent	Approved	11/15/2012
B	Missouri	Agent	Approved	10/10/2018
B	New Jersey	Agent	Approved	11/15/2012
B	New York	Agent	Approved	11/15/2012
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	11/15/2012
B	Pennsylvania	Agent	Approved	08/24/2020
B	Texas	Agent	Approved	06/17/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	06/17/2021

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

1001 Franklin Ave Ste 302
Garden City, NY 11530

AMERIPRISE FINANCIAL SERVICES, LLC

Fresh Meadows, NY



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	11/19/1979

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/22/1988

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 04/2013 - 12/2015	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN
B 03/2003 - 12/2012	GILFORD SECURITIES INCORPORATED	8076	MELVILLE, NY
B 11/1998 - 03/2003	KSH INVESTMENT GROUP, INC.	41817	GREAT NECK, NY
B 07/1998 - 10/1998	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL
B 10/1997 - 07/1998	THE BOSTON GROUP	37652	LOS ANGELES, CA
B 07/1994 - 02/1997	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 09/1989 - 07/1994	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 01/1988 - 09/1989	THOMSON MCKINNON SECURITIES INC.	829	NEW YORK, NY
B 08/1989 - 08/1989	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY
B 01/1987 - 04/1987	INVESTORS CENTER INCORPORATED	14670	
B 04/1981 - 02/1985	GRUNTAL & CO. INCORPORATED	372	
B 11/1979 - 04/1981	LEUMI SECURITIES CORPORATION	2556	

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	Garden City, NY, United States
11/2012 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Mitchel Field, NY, United States

Registration and Employment History



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.

Other Business Activities; Mishkan Hatorah; forward mail, paperwork to home office and checks are brought to the bank checks to the bank; 73-44 172nd, , Flushing, NY, 11366; Not Investment-Related; 12/01/2017; 1 to 9 hours per month; 0 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:**
 - 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



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:	NYSE DIVISION OF ENFORCEMENT.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/30/1997
Docket/Case Number:	HPD# 97-48
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/30/1997
Sanctions Ordered:	Bar Censure

**Other Sanctions Ordered:****Sanction Details:**

****5/1/97**** DECISION 97-48 ISSUED BY NYSE HEARING PANEL. PLAUT EFFECTED UNSUITABLE AND EXCESSIVE TRANSACTIONS IN A CUSTOMER'S ACCOUNT -- CONSENT TO CENSURE AND THREE MONTH BAR.

Regulator Statement

THE DECISION IS NOW FINAL AND EFFECTIVE MAY 30, 1997. CONTACT: PEGGY L. GERMINO AT (212) 656-88450

Reporting Source:

Firm

Regulatory Action Initiated By:

NEW YORK STOCK EXCHANGE

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

05/30/1997

Docket/Case Number:

HPD# 97-48

Employing firm when activity occurred which led to the regulatory action:

PRUDENTIAL SECURITIES INCORPORATED

Product Type:**Other Product Type(s):****Allegations:**

INVESTIGATION RELATING TO MR PLAUT'S EMPLOYMENT AT PRUDENTIAL SECURITIES. NATURE OF INVESTIGATION IS UNKNOWN.

Current Status:

Final

Resolution:

Decision

Resolution Date:

05/30/1997

Sanctions Ordered:

Bar
Censure

Other Sanctions Ordered:**Sanction Details:**

PENDING

Firm Statement

Not Provided



Reporting Source:	Broker
Regulatory Action Initiated By:	NYSE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	05/30/1997
Docket/Case Number:	HPD# 97-48
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	Other
Other Product Type(s):	
Allegations:	NYSE IS INVESTIGATING CUSTOMER COMPLAINTS RELATING TO MR. PLAUT'S FORMER EMPLOYMENT AT PRUDENTIAL SECURITIES. NEITHER THE IDENTITIES OF THE CUSTOMERS NOR THE NATURE OF THE ALLEGATIONS HAVE BEEN SPECIFIED.
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/30/1997
Sanctions Ordered:	Bar Censure
Other Sanctions Ordered:	
Sanction Details:	DECISION 97-48 ISSUED BY THE NYSE HEARING PANEL. PLAUT EFFECTED UNSUITABLE AND EXCESSIVE TRANSACTIONS IN A CUSTOMER'S ACCOUNT-- CONSENT TO CENSURE AND THREE MONTH (90 DAY) BAR.
Broker Statement	THE DECISION IS NOW FINAL AND EFFECTIVE, MAY 30, 1997. CONTACT PEGGY L. GERMINO AT 212-656-8845.



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: Firm

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

Allegations: CUSTOMERS ALLEGED THEIR FA ASSURED THEY WOULD BE RETURNED AT LEAST \$10 PER SHARE AT THE END OF THE HYPERION 1997 TERM TRUST. DAMAGES WERE ALLEGED TO BE \$30,000.00.

Product Type:

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 03/31/1997

Complaint Pending? No

Status: Settled

Status Date: 08/12/1997

Settlement Amount: \$15,000.00

Individual Contribution Amount:

Firm Statement SETTLED FOR \$15,000.00 FOR BUSINESS REASONS. THE FA DID NOT PARTICIPATE IN THE DECISION TO SETTLE.
Not Provided

Reporting Source: Broker

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

Allegations: CLIENT CLAIMS THAT IN REGARDS TO THEIR INVESTMENT IN THE HYPERION 1997 TERM TRUS, THAT I GUARANTEED A RETURN OF \$10.- A SHARE AT THE FUNDS FINAL MATURITY (APPROX NOV. OF 1997) ALLEGES CURRENT LOSSES OF APPROX. \$30,000.- THIS PURCHASE WAS DONE AT PRUDENTIAL I THINK IN OCT OF 1992.



Product Type: Other
Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 03/31/1997
Complaint Pending? No
Status: Settled
Status Date: 08/12/1997
Settlement Amount: \$15,000.00
Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL FOUND THAT THE CLIENT HAD NO BASIS FOR A CLAIM YET FOR BUSINESS REASONS THEY OFFERED THE SCHWARTS \$15,000. THE SCHWARTZ'S TURNED THEM DOWN, AND PRUDENTIAL CLOSED THIS CASE. THE CLIENT PURCHASED THE HYPERION 1997 TERM TRUST FROM ME AT PRUDENTIAL IN 1996 OF ABOUT \$10.- A SHARE. THE FUND WILL TERMINATE IN OR ABOUT NOV. OF 1997, THEY CLAIM THAT I GUARANTEED A FINAL MATURITY OF \$10.- A SHARE. I TOLD THEM THAT THE INTENT OF THE FUND WAS TO RETURN APROX \$10.- A SHARE AT ITS TERMINATION. IF THE FUND CAN OR CANNOT RETURN \$10.- A SHARE IS CERTAINLY NOT SOMETHING I KNOW ONE WAY OR THE OTHER.

Disclosure 2 of 2

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUDENTIAL
Allegations: UNAUTHORIZED & EXCESSIVE TRADING, FORGERY AND DAMAGES OF \$105,000.
Product Type:
Alleged Damages: \$105,000.00

Customer Complaint Information

Date Complaint Received: 07/08/1994
Complaint Pending? No



Status: Settled
Status Date: 10/26/1994
Settlement Amount: \$100,000.00
Individual Contribution Amount:
Firm Statement CASE SETTLED FOR \$100,000
 Not Provided

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: PRUDENTIAL
Allegations: CUSTOMERS ALLEGED THAT SIGNATURES ON MARGIN AGREEMENT ARE FORGERIES. UNAUTHORIZED AND EXCESSIVE TRADING.
Product Type: Other
Alleged Damages: \$105,000.00

Customer Complaint Information

Date Complaint Received: 07/08/1994
Complaint Pending? No
Status: Settled
Status Date: 10/26/1994
Settlement Amount: \$100,000.00
Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$100,000
 I DO NOT BELIEVE THE MARGIN AGREEMENT WAS EVER BROUGHT TO MY PERSONAL ATTENTION AND BELIEVE THIS WAS HANDLED BY THE BACK OFFICE. I HAVE NO WAY OF KNOWING IF THE SIGNATURES ON THE AGREEMENT ARE THE [CUSTOMER] OR NOT. ONE THING I AM CERTAIN OF IS THAT I DID NOT SIGN THE MARGIN AGREEMENT WITH THE [CUSTOMER]'S NAME NOR DID I HAVE ANYONE ELSE DO IT. SINCE I HAVE NOW LEFT PRUDENTIAL I DO NOT HAVE ALL THE DOCUMENTATION INVOLVING THE ACCOUNT WHICH WAS LEFT WITH PRUDENTIAL WHEN I TRANSFERRED TO MY CURRENT PLACE OF



EMPLOYMENT AT DEAN WITTER.

End of Report



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