



IAPD Report

ROBERT DENNIS MOSSON

CRD# 1011524

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ROBERT DENNIS MOSSON (CRD# 1011524)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/18/2013
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/18/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	UBS FINANCIAL SERVICES INC.	8174	GRAND RAPIDS, MI	10/08/2010 - 10/28/2013
B	UBS FINANCIAL SERVICES INC.	8174	GRAND RAPIDS, MI	02/18/1983 - 10/28/2013
B	PRIMUS INVESTMENT COMPANY	677	GRAND RAPIDS, MI	03/01/1982 - 03/16/1983

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/18/2013
B	Alabama	Agent	Approved	05/15/2024
B	Arizona	Agent	Approved	01/06/2023
B	Arkansas	Agent	Approved	05/15/2024
B	California	Agent	Approved	10/18/2013
B	Florida	Agent	Approved	11/18/2013
B	Georgia	Agent	Approved	10/18/2013
B	Idaho	Agent	Approved	07/21/2022
B	Illinois	Agent	Approved	10/18/2013
B	Indiana	Agent	Approved	10/28/2013
B	Kansas	Agent	Approved	09/26/2023
B	Michigan	Agent	Approved	10/18/2013
IA	Michigan	Investment Adviser Representative	Approved	10/30/2013



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	01/27/2022
B Nevada	Agent	Approved	03/28/2024
B New Mexico	Agent	Approved	10/18/2013
B New York	Agent	Approved	10/18/2013
B Ohio	Agent	Approved	06/12/2023
B Oklahoma	Agent	Approved	07/17/2023
B Oregon	Agent	Approved	04/08/2022
B Pennsylvania	Agent	Approved	03/05/2024
B South Carolina	Agent	Approved	02/05/2024
B Tennessee	Agent	Approved	10/18/2013
B Wisconsin	Agent	Approved	10/18/2013

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
4362 Cascade Rd. SE, Ste. 111
Grand Rapids, MI 49546-3670

AMERIPRISE FINANCIAL SERVICES, LLC
Comstock Park, MI



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	07/03/1984
General Securities Representative Examination (S7)	Series 7	01/16/1982

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	10/27/1995
Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/08/2010 - 10/28/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	GRAND RAPIDS, MI
B	02/18/1983 - 10/28/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	GRAND RAPIDS, MI
B	03/01/1982 - 03/16/1983	PRIMUS INVESTMENT COMPANY	CRD# 677	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Grand Rapids, MI, United States
10/2013 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Grand Rapids, MI, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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; Commercial; 5181 cascade se, , grand rapids, MI, 49504; Not Investment-Related; 06/01/2009. Business Ownership; Mosson Consulting Group; Owner; Manage Ameriprise Business; 4362 Cascade Rd. SE, Ste 111, grand rapids, MI, 49546; Investment-Related; 04/15/2024; 1 to 9 hours per month; 1 to 9 during trading hours. Board of Directors; Kent County Building Authority; chairmen; 300 Monroe ave nw, , grand rapids, MI, 49503; Not Investment-Related; 06/01/1985; 1 to 9 hours per month; 1 to 9 during trading hours / Kent County insurance Board; board member; 300 Monroe ave N.W., , grand rapids, MI, 49503; Not Investment-Related; 02/26/2025; 1 to 9 hours per month; 1 to 9 during trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: APRIL 14, 2008 TO SEPTEMBER 11, 2008 CLIENT ALLEGES HIS FINANCIAL ADVISOR MISREPRESENTED HIS INVESTMENTS AS SAFE. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000
Product Type:	Other: EQUITIES
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ESTIMATED TO BE IN EXCESS OF \$5000
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:	03/20/2012
Complaint Pending?	No
Status:	Denied
Status Date:	04/03/2012

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

AT THE TIME OF PURCHASE, FANNIE MAE PREFERRED WERE HIGHLY RATED BY S & P, MOODY AND FITCH. FANNIE MAE WAS CREATED BY AN ACT OF CONGRESS IN 1938, THUS GAINING THE DESIGNATION AS A GOVERNMENT SPONSORED ENTERPRISE. WHILE FANNIE MAE WAS DESIGNATED A GSE, IT IS NOT BACKED BY THE FULL FAITH AND CREDIT OF THE UNITED STATES. AS SUCH, IN SEPTEMBER 2008 DUE THE CONCERNS THAT THE COMPANY COULD NOT OPERATE TO FULFILL ITS PUBLIC MISSION, THE FEDERAL HOUSING FINANCE AGENCY TOOK OVER THE ASSET AND ASSUMED ALL POWERS OF THE SHAREHOLDERS, DIRECTORS, AND OFFICERS BY PLACING FANNIE MAE INTO CONSERVATORSHIP. AS A RESULT THE DIVIDENDS ASSOCIATED WITH FNMA PREFERRED WERE SUSPENDED, AND ARE JUNIOR TO THE SENIOR PREFERRED STOCK ISSUED TO THE TREASURY IN THE RESTRUCTURING OF FANNIE MAE. THE MARKET VALUE OF THE FNMA PREFERRED DECLINED AFTER THE UNEXPECTED RESTRUCTURING ANNOUNCEMENT AND SUSPENSION OF DIVIDENDS.

AS TO THE CONCERNS AROUND THE MUTUAL FUND HIGHLIGHTED CAPITAL ADVANTAGE FUND, IT WAS A HIGHLY RATED BY MORNING STAR. AT THE TIME THE GOALS OF THE FUND WERE CONSISTENT WITH THE GOALS OF THE CLIENT, WHICH PROVIDE A HIGH LEVEL OF CURRENT INCOME, CONSISTENT WITH PRESERVATION, AND IT WAS AT FIRST. THE CLIENT PURCHASED THE FUND ON THREE DIFFERENT OCCASIONS OVER A 8 MONTH TIME PERIOD, PLUS REINVESTING THE DIVIDENDS. UNFORTUNATE THE PERFORMANCE IN THE HIGHLAND FUND NOW (PHYXIS) WAS NOT AS WE EXPECTED, AND WHILE DISAPPOINTED WITH IT'S PERFORMANCE, NEITHER UBS NOR I CAN GUARANTEE THE PERFORMANCE OF ANY INVESTMENT.

Disclosure 2 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

PAINWEBBER INC

Allegations:

CUSTOMER ALLEGES THAT MR. MOSSON FAILED TO FOLLOW HIS INSTRUCTIONS BY CONTACTING HIM WHEN P-COM REACHED \$22.00/SHARE. CUSTOMER CLAIMS THAT IF MR. MOSSON DID CONTACT HIM, HE WOULD HAVE SOLD THE INVESTMENT. THE VALUE OF P-COM HAS DECLINED TO UNDER \$6.00/SHARE. TIME PERIOD 4/25/2000.

Product Type:

Equity - OTC

Alleged Damages:

\$8,800.00

Customer Complaint Information**Date Complaint Received:**

07/12/2000

Complaint Pending?

No

Status:

Denied

Status Date:

10/27/2000

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

CLAIM WAS DENIED. CLIENT WROTE BACK ADMITTING HE WAS INCORRECT IN HIS COMPLAINT.

Disclosure 3 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

PAINWEBBER

Allegations:

THE CLIENTS ALLEGED UNAUTHORIZED TRADING, FAILURE TO FOLLOW INSTRUCTIONS, GROSS RECKLESSNESS, BREACH OF CONTRACT, MISREPRESENTATION, FRAUD AND RICO. DAMAGES IN EXCESS OF \$10,000 WERE CLAIMED

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?**

No

Status:

Litigation

Status Date:**Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:**

MI; 88-58322

Date Notice/Process Served:

05/24/1988

Litigation Pending?

No

Disposition:

Settled

Disposition Date:

06/08/1988

Monetary Compensation Amount:

\$20,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

PAINWEBBER SETTLED WITH THE CLIENT FOR \$20,000. MR. MOSSON WAS NOT REQUIRED TO CONTRIBUTE TO THE SETTLEMENT.
Not Provided



End of Report

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