IAPD Report

PAUL GORDON

CRD# 1027219

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

PAUL GORDON (CRD# 1027219)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/05/2016
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/07/2016

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
B	RBC CAPITAL MARKETS, LLC	31194	PARAMUS, NJ	10/09/2009 - 04/06/2016
IA	RBC CAPITAL MARKETS, LLC	31194	PARAMUS, NJ	10/09/2009 - 04/06/2016
IA	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ	05/15/2002 - 10/09/2009

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
Regulatory Event	1
Customer Dispute	4

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 Principal	Approved	04/05/2016
B	FINRA	General Securities Representative	Approved	04/05/2016
B	FINRA	Municipal Securities Principal	Approved	04/05/2016
B	FINRA	Municipal Securities Representative	Approved	04/05/2016
B	California	Agent	Approved	04/28/2016
B	Connecticut	Agent	Approved	05/04/2016
B	Delaware	Agent	Approved	04/28/2016
B	District of Columbia	Agent	Approved	09/10/2021
B	Florida	Agent	Approved	04/28/2016
B	Georgia	Agent	Approved	07/17/2023
B	Maryland	Agent	Approved	04/28/2016
B	Massachusetts	Agent	Approved	05/03/2016
B	Minnesota	Agent	Approved	08/18/2025

Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	06/11/2026
B	Nevada	Agent	Approved	04/28/2016
B	New Jersey	Agent	Approved	04/05/2016
IA	New Jersey	Investment Adviser Representative	Approved	04/07/2016
B	New Mexico	Agent	Approved	03/14/2019
B	New York	Agent	Approved	04/28/2016
B	North Carolina	Agent	Approved	07/31/2020
B	Ohio	Agent	Approved	04/28/2016
B	Oregon	Agent	Approved	04/28/2016
B	Pennsylvania	Agent	Approved	04/28/2016
B	South Carolina	Agent	Approved	07/06/2022
B	Texas	Agent	Approved	11/09/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	11/10/2021
B	Vermont	Agent	Approved	04/28/2016
B	Virginia	Agent	Approved	04/28/2016

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
250 PEHLE AVE STE 500
PARK 80 WEST, PLAZA TWO
SADDLE BROOK, NJ 07663

AMERIPRISE FINANCIAL SERVICES, LLC
Washington Twsp, NJ

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/07/1985
B	General Securities Principal Examination (S24)	Series 24	02/01/1985

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/16/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/09/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/09/2009 - 04/06/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	PARAMUS, NJ
IA	10/09/2009 - 04/06/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	PARAMUS, NJ
IA	05/15/2002 - 10/09/2009	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	01/25/1982 - 10/09/2009	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ

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	Saddle Brook, NJ, United States
03/2016 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Saddle Brook, NJ, 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.

No information reported.

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
Regulatory Event	1
Customer Dispute	4

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	09/02/1999
Docket/Case Number:	REL.34-41825, FILE NO. 3-9992
Employing firm when activity occurred which led to the regulatory action:	J. B. HANAUER & CO.
Product Type:	No Product
Other Product Type(s):	
Allegations:	SEC NEWS DIGEST, ISSUE NO. 99-170, DATED SEPTEMBER 2, 1999, ENFORCEMENT PROCEEDINGS DISCLOSES: THE COMMISSION ANNOUNCED TODAY THE FILING OF SETTLED ADMINISTRATIVE PROCEEDINGS AGAINST FIVE FORMER BROKERS AND ONE CURRENT BROKER AT A MEMBER FIRM. THE COMMISSION CHARGED THE FIVE FORMER BROKERS WITH CHURNING CLIENT ACCOUNTS; PURCHASING UNSUITABLE QUANTITIES OF BELOW INVESTMENT-GRADE BONDS; AND OTHER FRAUDULENT SALES PRACTICES. THE VIOLATIONS OCCURRED FROM 1990 TO 1995 AT THE NEW JERSEY OFFICE AND AT TWO FLORIDA BRANCH OFFICES. THE COMMISSION ALSO CHARGED THE FIRM AND TWO OF ITS FORMER BRANCH MANAGERS WITH FAILING REASONABLY TO SUPERVISE CERTAIN OF THE BROKERS. IN SETTLING THE CHARGES, THE

	FIRM AND THE INDIVIDUAL RESPONDENTS AGREED TO PAY CIVIL PENALTIES TOTALING $800,000, AND TO OTHER RELIEF DESCRIBED BELOW.
Current Status:	Final
Resolution:	Order
Resolution Date:	09/08/1999
Sanctions Ordered:	Monetary/Fine $15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE COMMISSION'S FINDINGS, GORDON CONSENTED TO THE ENTRY OF THE COMMISSION'S ORDER THAT:HE FAILED REASONABLY TO SUPERVISE AN INDIVIDUAL WITH A VIEW TO PREVENTING HIS WILLFUL VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT, SECTION 10(B) OF THE EXCHANGE ACT, AND RULE 10B-5 THEREUNDER, SUSPENDS GORDON FROM ASSOCIATION WITH ANY BROKER OR DEALER FOR A PERIOD OF THREE MONTHS, SUSPENDS GORDON FROM ASSOCIATION IN A SUPERVISORY CAPACITY WITH ANY BROKER OR DEALER FOR A PERIOD OF NINE MONTHS FOLLOWING HIS SUSPENSION FROM ASSOCIATION, AND ORDERS HIM TO PAY A CIVIL MONEY PENALTY OF $15,000.

Reporting Source:	Individual
Regulatory Action Initiated By:	U.S. SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Monetary Penalty other than Fines Suspension
Date Initiated:	09/02/1999
Docket/Case Number:	REL 34.41825, FILE NO. 3-9992
Employing firm when activity occurred which led to the regulatory action:	J.B. HANAUER & CO.
Product Type:	Debt-Municipal
Allegations:	ALLEGED FAILURE TO REASONABLY SUPERVISE ONE REGISTERED REPRESENTATIVE WITH A VIEW TO PREVENTING VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT, SECTION 10(B) AND RULE 10(B)(5) OF THE EXCHANGE ACT.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/02/1999

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 2	
Sanction Type:	Suspension
Capacities Affected:	GENERAL SECURITIES PRINCIPAL
Duration:	NINE MONTHS
Start Date:	09/13/1999
End Date:	06/12/2000
Sanction 2 of 2	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE MONTHS
Start Date:	09/13/1999
End Date:	12/13/1999
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$15,000.00
Portion Levied against individual:	$15,000.00
Payment Plan:	NONE
Is Payment Plan Current:	Yes
Date Paid by individual:	09/13/1982
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. GORDON AGREED TO THE ABOVE DESCRIBED SETTLEMENT.

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RBC Capital Markets, LLC
Allegations:	Attorney for client states municipal bonds were recommended for purchase even though the client was not interested in taking on any unnecessary risk in the period of 2010 to 2014.
Product Type:	Debt-Municipal
Alleged Damages:	$225,000.00
Alleged Damages Amount Explanation (if amount not exact):	Losses could potentially exceed alleged amount
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:	11/30/2017
Complaint Pending?	No
Status:	Settled
Status Date:	01/31/2018
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC Capital Markets, LLC
Allegations:	Attorney for client states municipal bonds were recommended for purchase even though the client was not interested in taking on any unnecessary risk in the period of 2010 to 2014.
Product Type:	Debt-Municipal
Alleged Damages:	$225,000.00

Alleged Damages Amount Explanation (if amount not exact):	Losses could potentially exceed alleged amount
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:	11/30/2017
Complaint Pending?	No
Status:	Settled
Status Date:	01/31/2018
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.B. HANAUER & CO.
Allegations:	TWO YEARS AFTER A 2001 BOND DEFAULT, THE CLIENT ALLEGED THROUGH COUNSEL THAT A PURCHASE HE MADE IN SEPTEMBER 1993 WAS MISREPRESENTED. THE COMPLAINT DID NOT CONTAIN A CLEAR CLAIM FOR COMPENSATORY DAMAGES BUT OFFERED A SETTLEMENT AMOUNT.
Product Type:	Debt - Corporate
Alleged Damages:	$15,000.00

Customer Complaint Information

Date Complaint Received:	11/20/2003
Complaint Pending?	No
Status:	Denied
Status Date:	11/24/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE COMPLAINT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $10,000 OR MORE.

Disclosure 3 of 4

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	J.B. HANAUER & CO.
Allegations:	CLAIMANTS ALLEGED CONVERSION, BREACHES OF FIDUCIARY DUTIES & CONTRACT; COMMON LAW & CONSUMER FRAUD, VIOLATIONS OF THE N.J. SECURITIES ACT, SECURITIES EXCHANGE ACT OF 1934 & NASD RULES AND NEGLIGENCE RELATING TO ACTIVITY FROM 1998 THROUGH 2002.
Product Type:	Debt - Corporate
Alleged Damages:	$1,800,000.00

Customer Complaint Information

Date Complaint Received:	08/29/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/07/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR # 02-5072
Date Notice/Process Served:	10/07/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/23/2004
Monetary Compensation Amount:	$40,980.72
Individual Contribution Amount:	$17,006.99

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.B. HANAUER & CO.
Allegations:	SUBSEQUENT TO A BOND DEFAULT, THE CLIENT ALLEGED THROUGH COUNSEL THAT HIS PURCHASE OF ONE CORPORATE BOND IN JUNE 1998 WAS MISREPRESENTED AND UNSUITABLE.
Product Type:	Debt - Corporate
Alleged Damages:	$25,000.00

Customer Complaint Information

Date Complaint Received:	12/05/2000
Complaint Pending?	No

Status:	Settled
Status Date:	12/27/2000
Settlement Amount:	$13,500.00
Individual Contribution Amount:	$6,075.00
Broker Statement	WHILE THERE WAS NO EVIDENCE TO SUPPORT THE ALLEGATIONS, THE FIRM AGREED TO SETTLE THE CLAIM STRICTLY AS A MEANS OF SATISFYING A LONG TERM CLIENT AND MAINTAINING THE RELATIONSHIP.

End of Report

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