



IAPD Report

DAVID VICTOR JANNY

CRD# 1272727

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

DAVID VICTOR JANNY (CRD# 1272727)

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 **05/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/15/2022
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/15/2022

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	MORGAN STANLEY	149777	Westport, CT	11/21/2012 - 08/03/2022
IA	MORGAN STANLEY	149777	Westport, CT	11/21/2012 - 08/03/2022
IA	UBS FINANCIAL SERVICES INC.	8174	WESTPORT, CT	04/06/1992 - 11/29/2012

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	8



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	07/15/2022
B	Arizona	Agent	Approved	07/15/2022
B	California	Agent	Approved	07/15/2022
B	Colorado	Agent	Approved	08/10/2022
B	Connecticut	Agent	Approved	07/15/2022
IA	Connecticut	Investment Adviser Representative	Approved	07/15/2022
B	Florida	Agent	Approved	07/15/2022
B	Illinois	Agent	Approved	08/15/2022
B	Kentucky	Agent	Approved	11/02/2022
B	Maryland	Agent	Approved	07/15/2022
B	Massachusetts	Agent	Approved	07/26/2022
B	Michigan	Agent	Approved	07/15/2022
B	New Jersey	Agent	Approved	07/15/2022



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	07/15/2022
B North Carolina	Agent	Approved	07/15/2022
B Ohio	Agent	Approved	10/27/2022
B Oregon	Agent	Approved	07/15/2022
B Pennsylvania	Agent	Approved	08/10/2022
B South Carolina	Agent	Approved	07/15/2022
B Tennessee	Agent	Approved	01/09/2023
B Texas	Agent	Approved	07/15/2022
IA Texas	Investment Adviser Representative	Restricted Approval	07/15/2022
B Vermont	Agent	Approved	07/15/2022
B Virginia	Agent	Approved	08/06/2022
B Wisconsin	Agent	Approved	07/15/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
10 Wright St
Fl 1st
Westport, CT 06880-3115

AMERIPRISE FINANCIAL SERVICES, LLC
Easton, CT




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/01/1991

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	01/14/1997
 General Securities Representative Examination (S7)	Series 7	06/16/1984

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/08/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/02/1986

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	11/21/2012 - 08/03/2022	MORGAN STANLEY	CRD# 149777	Westport, CT
IA	11/21/2012 - 08/03/2022	MORGAN STANLEY	CRD# 149777	Westport, CT
IA	04/06/1992 - 11/29/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	WESTPORT, CT
B	05/01/1991 - 11/29/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	WESTPORT, CT
B	06/21/1984 - 05/10/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
07/2022 - Present	Ameriprise Financial Services, LLC.	Registered Rep	Y	Westport, CT, United States
07/2022 - 07/2022	Ameriprise Financial Services	Registered Rep	Y	Westport, CT, United States
01/2015 - 07/2022	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
11/2012 - 07/2022	MORGAN STANLEY	FINANCIAL ADVISOR	Y	WESTPORT, CT, 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.

Fiduciary Activities; Trustee. Board of Directors; The Peggy Cahill Pioli Right To Life Foundation; Director; 28 Linley Road, , Trumbull, CT, 06611; Not Investment-Related; 10/06/2025; 1 to 9 hours per month; 0 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	8

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 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, LLC
Allegations:	During the period July 2022-October 2023, claimants allege respondent recommended unsuitable investments including stocks in speculative precious metals and the energy sector.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$500,000.00
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 FL
Docket/Case #:	24-02292
Filing date of arbitration/CFTC reparation or civil litigation:	10/23/2024

Customer Complaint Information

Date Complaint Received:	10/23/2024
Complaint Pending?	Yes



Settlement Amount:

Individual Contribution Amount:

Broker Statement According to the Award dated April 11, 2026, Claimant's claims are denied in their entirety on the merits.

Disclosure 2 of 8

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CLIENT ALLEGES THAT THERE WERE OPTION TRADES DONE IN HIS ACCOUNT THAT HE DID NOT AUTHORIZE 2021

Product Type: Options
Alleged Damages: \$500,000.00

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: 02/12/2024

Complaint Pending? No

Status: Denied

Status Date: 03/11/2024

Settlement Amount:

Individual Contribution Amount:

Firm Statement Complaint denied.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CLIENT ALLEGES THAT THERE WERE OPTION TRADES DONE IN HIS ACCOUNT THAT HE DID NOT AUTHORIZE 2021

Product Type: Options
Alleged Damages: \$500,000.00

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: 02/12/2024
Complaint Pending? No
Status: Denied
Status Date: 03/11/2024
Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 8

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY SMITH BARNEY
Allegations: Claimants allege, inter alia, Excessive trading with respect to investments - Nov 2012 through July 2022
Product Type: Other: Managed/Wrap Acct (In-house Money Manager)
Alleged Damages: \$5,000,000.00
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
Docket/Case #: 23-03356
Filing date of arbitration/CFTC reparation or civil litigation: 11/21/2023

Customer Complaint Information

Date Complaint Received: 11/22/2023
Complaint Pending? No
Status: Denied
Status Date: 04/11/2026
Settlement Amount:
Individual Contribution Amount:

Firm Statement According to the Award dated April 11, 2026, Claimant’s claims are denied in their entirety on the merits.

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MORGAN STANLEY SMITH BARNEY

Allegations: Claimants allege, inter alia, Excessive trading with respect to investments - Nov 2012 through July 2022

Product Type: Other: Managed/Wrap Acct (In-house Money Manager)

Alleged Damages: \$5,000,000.00

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

Docket/Case #: 23-03356

Filing date of arbitration/CFTC reparation or civil litigation: 11/21/2023

Customer Complaint Information

Date Complaint Received: 11/22/2023

Complaint Pending? No

Status: Denied

Status Date: 04/11/2026

Settlement Amount:

Individual Contribution Amount:

Broker Statement According to the Award dated April 11, 2026, Claimant's claims are denied in their entirety on the merits.

Disclosure 4 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CLIENT ALLEGES THAT HIS FA AGGRESSIVELY TRADED HIS ACCOUNT WITHOUT HIS KNOWLEDGE OR CONSENT. 2008-2014

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

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: 03/05/2018

Complaint Pending? No

Status: Denied

Status Date: 03/16/2018

Settlement Amount: \$0.00

Individual Contribution
Amount: \$0.00

Broker Statement This claim was without merit.

Disclosure 5 of 8

Reporting Source: Firm

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

Allegations: CLAIMANT ALLEGES UNAUTHORIZED, UNSUITABLE AND EXCESSIVE
SHORT -SELLING IN HER ACCOUNT. TIME FRAME 2010 - 2012.

Product Type: Equity-OTC

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? Yes

Arbitration/Reparation forum
or court name and location: FINRA

Docket/Case #: 14-01103

Filing date of
arbitration/CFTC reparation
or civil litigation: 04/15/2014

Customer Complaint Information

Date Complaint Received: 04/15/2014

Complaint Pending? No

Status: Settled

Status Date: 06/16/2015

Settlement Amount: \$75,000.00

Individual Contribution
Amount: \$0.00

Reporting Source: Individual



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

Allegations: CLAIMANT ALLEGES UNAUTHORIZED, UNSUITABLE AND EXCESSIVE SHORT -SELLING IN HER ACCOUNT. TIME FRAME 2010 - 2012.

Product Type: Equity-OTC

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-01103

Filing date of arbitration/CFTC reparation or civil litigation: 04/15/2014

Customer Complaint Information

Date Complaint Received: 04/15/2014

Complaint Pending? No

Status: Settled

Status Date: 06/16/2015

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement COMPLAINT RECEIVED 10/10/2013 WAS DENIED ON 02/14/2014. CLIENT SUBSEQUENTLY FILED FOR ARBITRATION AND DID NOT NAMED MR. JANNY AS A RESPONDENT. THIS MATTER WAS SETTLED IN ORDER TO AVOID THE COST AND RISK OF LITIGATION, THE FINANCIAL ADVISOR DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT.

Disclosure 6 of 8

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES HER ACCOUNT WAS AGGRESSIVELY TRADED IN HIGH RISK INVESTMENTS THAT WERE CONTRARY TO HER WISHES AND STATED OBJECTIVES.

TIME FRAME: 12/2003-4/2010.

Product Type: Other: STOCKS

Alleged Damages: \$130,000.00

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: 01/13/2011

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 02/28/2011

Settlement Amount: \$0.00

**Individual Contribution
Amount:** \$0.00

Arbitration Information

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** FINRA

Docket/Case #: 11-03797

Date Notice/Process Served: 10/17/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/26/2012

**Monetary Compensation
Amount:** \$135,000.00

**Individual Contribution
Amount:** \$10,000.00

Broker Statement

CLIENT WAS PLEASED WITH HER ACCOUNT PERFORMANCE AND INVESTMENT STRATEGY UNTIL AN ACCOUNT DECLINE CAUSED HER TO LIQUIDATE THE PORTFOLIO AND LIQUIDATE THE PORTFOLIO AT A POOR TIME. CONSISTENT WITH HER INVESTMENT OBJECTIVES, AND DESPITE THE DECLINE IN VALUE, THE ACCOUNT WAS STILL UP APPROXIMATELY 13% A YEAR ANNUALIZED FROM HER ACCOUNT INCEPTION OF 12/31/03 THROUGH 4/30/10, THROUGH ONE OF THE MOST DIFFICULT AND VOLATILE MARKET PERIODS EVER.

Disclosure 7 of 8

Reporting Source: Individual

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

Allegations: TIME FRAME: MARCH 21, 2009 - SEPTEMBER 1, 2009
THE CLIENT ALLEGES THAT HIS FINANCIAL ADVISOR PURCHASE OF ETF'S WERE UNSUITABLE. CLIENT FURTHER ALLEGES THE FA FAILED TO FOLLOW HIS INSTRUCTIONS TO STOP PURCHASING ETF'S AND INSTEAD MADE NUMEROUS PURCHASES WITHOUT HIS APPROVAL.

Product Type: Other: EXCHANGE TRADED FUNDS (EFTS)



Alleged Damages: \$100,000.00

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: 11/30/2009

Complaint Pending? No

Status: Settled

Status Date: 12/28/2009

Settlement Amount: \$9,950.00

**Individual Contribution
Amount:** \$0.00

Broker Statement THE CLIENT WAS AWARE AND AGREED TO ALL TRANSACTIONS USING PROSHARES ETFS. THEY WERE EFFECTIVELY AND APPROPRIATELY USED A HEDGE AGAINST A DOWN MARKET IN 2008 AND 2009

Disclosure 8 of 8

Reporting Source: Individual

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

Allegations: TIME FRAME: SEPTEMBER THRU NOVEMBER 19, 2008.
CLIENT ALLEGES THAT THE TRADES MADE IN HIS ACCOUNT WERE NEVER AUTHORIZED OR DISCUSSED WITH HIM. CLIENT FURTHER ALLEGES THAT HE WAS NEVER INFORMED OF THE VOLATILITY NOR THEIR UNLIMITED LIABILITY POTENTIAL. DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000

Product Type: Options

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 11/19/2008

Complaint Pending? No

Status: Denied

Status Date: 03/11/2009

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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