IAPD Report

NANNETTE PISIG NOCON

CRD# 1304953

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

NANNETTE PISIG NOCON (CRD# 1304953)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/04/1984
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/03/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	01/26/2000 - 07/03/2006
B	IDS SECURITIES CORP.	11176	MINNEAPOLIS, MN	07/14/1986 - 12/24/1986
B	IDS FINANCIAL SERVICES INC.	6320	MINNEAPOLIS, MN	10/04/1984 - 12/24/1986

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 **39** 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	Invest. Co and Variable Contracts	Approved	10/04/1984
B	FINRA	General Securities Representative	Approved	01/21/1986
B	Alabama	Agent	Approved	08/31/2022
B	Alaska	Agent	Approved	07/09/2025
B	Arizona	Agent	Approved	10/06/1998
B	California	Agent	Approved	05/21/1993
B	Colorado	Agent	Approved	01/31/2012
B	Connecticut	Agent	Approved	02/22/2001
B	Delaware	Agent	Approved	03/24/2025
B	District of Columbia	Agent	Approved	08/17/2005
B	Florida	Agent	Approved	02/22/1990
B	Georgia	Agent	Approved	02/24/1998
B	Hawaii	Agent	Approved	12/19/2002

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	01/04/2008
B	Illinois	Agent	Approved	11/29/1993
B	Indiana	Agent	Approved	02/21/2002
B	Iowa	Agent	Approved	10/18/2017
B	Louisiana	Agent	Approved	11/03/2003
B	Maine	Agent	Approved	08/15/2014
B	Maryland	Agent	Approved	11/10/2010
B	Massachusetts	Agent	Approved	09/27/1996
B	Michigan	Agent	Approved	08/08/2011
B	Minnesota	Agent	Approved	03/24/2014
B	Nevada	Agent	Approved	02/08/2001
B	New Hampshire	Agent	Approved	09/09/2020
B	New Jersey	Agent	Approved	10/23/2000
B	New Mexico	Agent	Approved	08/10/1995
B	New York	Agent	Approved	12/24/1986
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	01/18/1995
B	Ohio	Agent	Approved	02/04/1999
B	Oklahoma	Agent	Approved	04/27/2001

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	05/21/1993
B	South Carolina	Agent	Approved	04/28/2003
B	Tennessee	Agent	Approved	10/15/2004
B	Texas	Agent	Approved	07/31/2001
IA	Texas	Investment Adviser Representative	Restricted Approval	10/03/2006
B	Utah	Agent	Approved	05/31/2012
B	Vermont	Agent	Approved	10/21/2021
B	Virginia	Agent	Approved	11/30/1993
B	Washington	Agent	Approved	08/26/2003
B	Wisconsin	Agent	Approved	02/28/2019
B	Wyoming	Agent	Approved	11/14/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
2024 W HENRIETTA ROAD
STE 5K
ROCHESTER, NY 14623

AMERIPRISE FINANCIAL SERVICES, LLC
Rochester, NY

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/18/1986
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/03/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/08/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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	01/26/2000 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	07/14/1986 - 12/24/1986	IDS SECURITIES CORP.	CRD# 11176	
B	10/04/1984 - 12/24/1986	IDS FINANCIAL SERVICES INC.	CRD# 6320	

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	Rochester, NY, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Rochester, NY, 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; 2024 W. Henrietta Rd, Suite 5KRochester, NY 14623, ,; Not Investment-Related; 07/01/1999 / Single Family; 180 Sunnyside Drive, Rochester, NY 14623, ,; Not Investment-Related; 02/01/2005 / It's a fractional share like a timeshare called The Phillips Club. We enjoy visiting NYC. We donate the use to charitable organizations and they are able to get $1,200 to $2,000 a stay through their auctions. Usually Geva, Rochester Education Foundation, Kidney Foundation, Center for Youth and occasionally St. John's Nursing Home have used it Also, when clients go to NYC, I have offered the use of it. The clients pay for the cleaning fee of $60 the 1st night and $40 the subsequent nights. ; 155 W 66th St,, , New York, NY, 10023; Not Investment-Related; 06/01/2009 / Commercial; 2024 W Henrietta Road Suite 5K, , Rochester, NY, 14623; Investment-Related; 05/04/2018 / It's a 1bedroom fractional share like a timeshare called The Phillips Club. We enjoy visiting NYC. We donate the use to charitable organizations through their auctions. Usually Geva, Rochester Education Foundation, Center for Youth and others have used it. ; 155 W 66th Street, , New York, NY, 10023; Not Investment-Related; 02/14/2025. Independent Insurance Brokering; Aetna; 09/23/2020; / Excellus; 09/23/2020; / Genworth; 01/01/2001; / John Hancock Financial Services; 05/10/2013; / MedAmerica; 03/01/2005; / National Life Group; 08/28/2017; / TransAmerica; 09/01/2010; / UnitedHealthCare (UHC); 09/23/2020; / UNUM; 01/01/1998; / Upstate Special Risk; 03/12/2007; Disability Income / Wellcare; 09/23/2020; . Business Ownership; KiteTails LLC; ; I publish children's book about choices with the characters Yum & Yuk. It is a non for profit venture where a book is given to an underpriviledged child for each one sold.; 137 East Avenue, RoCo Upstairs Rochester, NY 14604, ,; Not Investment-Related; 09/10/2009; 1 to 9 hours per month; 1 to 9 during trading hours / Right On LLC; Pay employees; LLC formed to create separate entity to pay non licensed staff starting through LLC in Jan 2011; 2024 W Henrietta Road Suite 5K, , Rochester, NY, 14623; Not Investment-Related; 01/01/2011; 10 to 19 hours per month; 0 during trading hours / Bright Park LLC; LLC formed to put the office condo in which I do business; LLC formed to put the office condo in which I do business to reduce excess liability in case someone sued me for getting hurt at the office; 2024 W Henrietta Road Suite 5K, , Rochester, NY, 14623; Not Investment-Related; 01/01/2010; 1 to 9 hours per month; 0 during trading hours.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Board of Directors; WXXI Public Broadcasting Council; Honorary Board Member; 280 State Street - PO Box 30021, , Rochester, NY, 14603; Not Investment-Related; 05/01/2017; 1 to 9 hours per month; 1 to 9 during trading hours / Geva Theatre Center; Honorary Board Member; 75 Woodbury Blvd, , Rochester, NY, 14607; Not Investment-Related; 07/01/2010; 1 to 9 hours per month; 0 during trading hours / George Eastman Museum; Chair; 900 East Avenue, , Rochester, NY, 14607; Not Investment-Related; 07/01/2022; 1 to 9 hours per month; 1 to 9 during trading hours. Other Business Activities; Notary; Notary Public; 2024 W Henrietta Road Suite 5K, , Rochester, NY, 14623; Not Investment-Related; 07/01/1996; 1 to 9 hours per month; 0 during trading hours / Host and producer; A community access television program; 3100 Atlantic Avenue, , Penfield, NY, 14526; Not Investment-Related; 06/01/2006; 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:	Ameriprise Financial Services, LLC
Allegations:	The client alleged the advisor did not liquidate his Active Portfolio account as he had instructed on February 13, 2020.
Product Type:	Other: Managed/Wrap Account (In-House Money Manager)
Alleged Damages:	$6,716.00
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:	03/17/2020
Complaint Pending?	No
Status:	Denied
Status Date:	04/07/2020
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: THE CLIENT STATED THAT HE WAS NOT AWARE THAT HE WAS INVESTED IN A RIVERSOURCE RAVA 5 ADVANTAGE VARIABLE ANNUITY WHICH WAS PURCHASED IN JULY 2012.

Product Type: Annuity-Variable

Alleged Damages: $28,576.29

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: 11/07/2014

Complaint Pending? No

Status: Denied

Status Date: 11/20/2014

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: CLIENTS ALLEGED INVESTMENTS IN MARCH 2007 DID NOT MEET THEIR OBJECTIVES AND THEY DID NOT RECEIVE ADEQUATE DISCLOSURE ABOUT THE INVESTMENTS.

Product Type: Mutual Fund

Alleged Damages: $50,817.00

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: 12/15/2009

Complaint Pending? No

Status: Denied

Status Date:	05/19/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE INVESTMENT WAS CONSISTENT WITH STATED OBJECTIVES AND RISK TOLERANCE. THE CLIENT WAS PROVIDED WITH INFORMATION REGARDING THE INVESTMENT

End of Report

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