



IAPD Report

EVAN IRA FISCHER

CRD# 1454305

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

i 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

EVAN IRA FISCHER (CRD# 1454305)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/18/2016
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/18/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	OPPENHEIMER & CO. INC.	249	JERICOHO, NY	03/03/2008 - 04/18/2016
B	OPPENHEIMER & CO. INC.	249	JERICOHO, NY	07/05/2002 - 04/18/2016
B	RBC DAIN RAUSCHER INC.	31194	NEW YORK, NY	03/09/2002 - 07/17/2002

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	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 **10** 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	04/18/2016
B	California	Agent	Approved	04/18/2016
B	Connecticut	Agent	Approved	04/18/2016
B	Florida	Agent	Approved	04/18/2016
B	Georgia	Agent	Approved	03/20/2023
B	Massachusetts	Agent	Approved	04/18/2016
B	New Jersey	Agent	Approved	04/18/2016
IA	New Jersey	Investment Adviser Representative	Approved	04/18/2016
B	New York	Agent	Approved	04/18/2016
IA	New York	Investment Adviser Representative	Approved	04/12/2021
B	North Carolina	Agent	Approved	04/18/2016
B	Texas	Agent	Approved	04/18/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	04/18/2016



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	04/18/2016

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1001 Franklin Ave Ste 302
Garden City, NY 11530

AMERIPRISE FINANCIAL SERVICES, LLC
Merrick, 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, 2 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
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/27/2008
--	-----------	------------

B Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1986
---	-----------	------------

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
IA	03/03/2008 - 04/18/2016	OPPENHEIMER & CO. INC.	CRD# 249	JERICHO, NY
B	07/05/2002 - 04/18/2016	OPPENHEIMER & CO. INC.	CRD# 249	JERICHO, NY
B	03/09/2002 - 07/17/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	02/06/1998 - 03/09/2002	TUCKER ANTHONY INCORPORATED	CRD# 837	BOSTON, MA
B	09/01/1997 - 03/03/1998	BT ALEX. BROWN INCORPORATED	CRD# 17790	BALTIMORE, MD
B	08/13/1996 - 09/01/1997	ALEX. BROWN & SONS INCORPORATED	CRD# 20	
B	07/08/1991 - 08/22/1996	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	12/15/1986 - 07/26/1991	LADENBURG, THALMANN & CO., INC.	CRD# 505	NEW YORK, NY
B	01/21/1986 - 12/19/1986	MACPEG, ROSS, O'CONNELL & GOLDABER, INC.	CRD# 8297	

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	Garden City, NY, United States
04/2016 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Mitchel Field, 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
Customer Dispute	4

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:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT ALLEGES UNSUITABLE TRADES, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD, BREACH OF SECURITIES REGULATORY REQUIREMENTS, FAILURE TO SUPERVISE, AND VIOLATION OF THE NEW HAMPSHIRE UNIFORM SECURITIES ACT. FROM 2011 TO 2016.
Product Type:	Debt-Government Oil & Gas
Alleged Damages:	\$220,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$220K IN COMPENSATORY DAMAGES, PLUS WELL MANAGED PORTFOLIO COSTS, RESCISSION OF UNSUITABLE INVESTMENTS, COST OF PROCEEDINGS, INTEREST, ATTORNEY'S FEES, PUNITIVE DAMAGES IN AMOUNT ACCORDING TO PROOF.
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 #:	17-02583



Filing date of arbitration/CFTC reparation or civil litigation: 09/28/2017

Customer Complaint Information

Date Complaint Received: 09/29/2017

Complaint Pending? No

Status: Settled

Status Date: 11/05/2018

Settlement Amount: \$92,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES UNSUITABLE TRADES, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD, BREACH OF SECURITIES REGULATORY REQUIREMENTS, FAILURE TO SUPERVISE, AND VIOLATION OF THE NEW HAMPSHIRE UNIFORM SECURITIES ACT. FROM 2011 TO 2016.

Product Type: Debt-Government
Oil & Gas

Alleged Damages: \$220,000.00

Alleged Damages Amount Explanation (if amount not exact): \$220K IN COMPENSATORY DAMAGES, PLUS WELL MANAGED PORTFOLIO COSTS, RESCISSION OF UNSUITABLE INVESTMENTS, COST OF PROCEEDINGS, INTEREST, ATTORNEY'S FEES, PUNITIVE DAMAGES IN AMOUNT ACCORDING TO PROOF.

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 #: 17-02583

Filing date of arbitration/CFTC reparation or civil litigation: 09/28/2017

Customer Complaint Information

Date Complaint Received: 09/29/2017

Complaint Pending? No

Status: Settled

Status Date: 11/05/2018



Settlement Amount: \$92,500.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANTS ASSERT CLAIMS FOR UNSUITABILITY, UNAUTHORIZED TRADING, NEGLIGENCE, BREACH OF CONTRACT AND MISREPRESENTATION IN CONNECTION WITH MAINTENANCE OF THEIR ACCOUNT AT OPPENHEIMER. FROM JANUARY 2013 THROUGH DECEMBER 31, 2016.

Product Type: Equity Listed (Common & Preferred Stock)
Oil & Gas

Alleged Damages: \$290,000.00

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 #: 17-00108

Filing date of arbitration/CFTC reparation or civil litigation: 01/11/2017

Customer Complaint Information

Date Complaint Received: 01/23/2017

Complaint Pending? No

Status: Settled

Status Date: 12/20/2017

Settlement Amount: \$85,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANTS ASSERT CLAIMS FOR UNSUITABILITY, UNAUTHORIZED TRADING, NEGLIGENCE, BREACH OF CONTRACT AND MISREPRESENTATION IN CONNECTION WITH MAINTENANCE OF THEIR ACCOUNT AT OPPENHEIMER. FROM JANUARY 2013 THROUGH DECEMBER



31, 2016.

Product Type: Equity Listed (Common & Preferred Stock)
Oil & Gas

Alleged Damages: \$290,000.00

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 #: 17-00108

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 01/11/2017

Customer Complaint Information

Date Complaint Received: 01/23/2017

Complaint Pending? No

Status: Settled

Status Date: 12/20/2017

Settlement Amount: \$85,000.00

**Individual Contribution
Amount:** \$0.00

Disclosure 3 of 4

Reporting Source: Regulator

**Employing firm when
activities occurred which led
to the complaint:** Oppenheimer & Co., Inc.

Allegations: Fischer was a subject of the customers' complaint against Fischer's member firm that asserted the following causes of action: breach of fiduciary duty; negligence; negligent supervision; fraud; breach of contract; and violation of ERISA.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$973,148.30

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [FINRA - CASE #16-01829](#)

Date Notice/Process Served: 06/27/2016

Arbitration Pending? No

Disposition: Award

Disposition Date: 05/23/2018

Disposition Detail: Fischer was a Subject Of the customers' complaint alleging Fischer and his



member firm caused sales practice violations. Fischer's member firm is liable for negligence and shall pay to Claimants a total of \$800,000, interest on the above-stated sum at the Florida statutory rate from the date of the Award until payment in full, the sum of \$61,517 in costs, and the sum of \$600 which represents Claimants' non-refundable portion of the filing fee. The Panel did not find Fischer's member firm liable for breach of contract, breach of fiduciary duty or gross negligence.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANTS ALLEGE THEIR ACCOUNTS WERE OVER CONCENTRATED IN UNSUITABLE ENERGY SECTOR INVESTMENTS, AND ASSERT CAUSES OF ACTION FOR BREACH OF FIDUCIARY DUTY, NEGLIGENCE, NEGLIGENT SUPERVISION, FRAUD AND BREACH OF CONTRACT. TIME PERIOD, 2010 TO 2016.

Product Type: Oil & Gas

Alleged Damages: \$678,000.00

Alleged Damages Amount Explanation (if amount not exact): TOTAL OF THE DAMAGES SPECIFICALLY IDENTIFIED IN THE STATEMENT OF CLAIM.

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 #: 16-01829

Filing date of arbitration/CFTC reparation or civil litigation: 06/27/2016

Customer Complaint Information

Date Complaint Received: 07/07/2016

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 05/23/2018

Settlement Amount: \$862,117.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Oppenheimer & Co. Inc.



Allegations: Claimants allege their accounts were over concentrated in unsuitable energy sector investments, and asserts causes of action for breach of fiduciary duty, negligence, negligent supervision, fraud and breach of contract. Time period, 2010 to 2016

Product Type: Oil & Gas

Alleged Damages: \$678,000.00

Alleged Damages Amount Explanation (if amount not exact): Total of the damages specifically identified in the statement of claim.

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: FIRNA

Docket/Case #: 16-01829

Filing date of arbitration/CFTC reparation or civil litigation: 06/27/2016

Customer Complaint Information

Date Complaint Received: 07/07/2016

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 05/23/2018

Settlement Amount: \$862,117.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: TUCKER ANTHONY

Allegations: CLAIMANT ALLEGES THAT BROKER MADE UNSUITABLE INVESTMENT RECOMMENDATIONS BEGINNING IN EARLY TO MID 1990'S THROUGH NOVEMBER 2001

Product Type: Equity - OTC

Alleged Damages: \$360,000.00

Customer Complaint Information

Date Complaint Received: 05/17/2004

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 05/13/2004
Settlement Amount:
Individual Contribution Amount:
Arbitration Information
Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 04-015400
Date Notice/Process Served: 05/13/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/10/2006
Monetary Compensation Amount: \$33,320.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: TUCKER ANTHONY
Allegations: CLAIMANT ALLEGES THAT BROKER MADE UNSUITABLE INVESTMENT RECOMMENDEATIONS BEGINNING IN EARLY TO MID 1990'S THROUGH NOVEMBER 2001.
Product Type: Equity - OTC
Alleged Damages: \$360,000.00

Customer Complaint Information

Date Complaint Received: 05/17/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 05/13/2004
Settlement Amount:
Individual Contribution Amount:
Arbitration Information
Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 04-015400
Date Notice/Process Served: 05/13/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/10/2006



Monetary Compensation Amount:	\$33,320.00
Individual Contribution Amount:	\$0.00



End of Report

This page is intentionally left blank.