



## IAPD Report

# MITCHELL JOSEPH HABERMAN

CRD# 1470014

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



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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

### MITCHELL JOSEPH HABERMAN (CRD# 1470014)

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 **05/18/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	12/05/2025
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	12/08/2025

### 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
<b>IA</b>	WELLS FARGO ADVISORS	19616	SARASOTA, FL	11/10/2006 - 12/10/2025
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	SARASOTA, FL	11/10/2006 - 12/10/2025
<b>B</b>	UBS FINANCIAL SERVICES INC.	8174	EDISON, NJ	07/13/2001 - 11/21/2006

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	2
Judgment/Lien	1



## 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	12/05/2025
B	California	Agent	Approved	12/05/2025
B	Connecticut	Agent	Approved	05/19/2026
B	Florida	Agent	Approved	12/19/2025
IA	Florida	Investment Adviser Representative	Approved	03/05/2026
B	New Jersey	Agent	Approved	03/16/2026
B	New Mexico	Agent	Approved	12/05/2025
B	New York	Agent	Approved	12/05/2025
B	North Carolina	Agent	Approved	05/20/2026
B	Pennsylvania	Agent	Approved	05/19/2026
B	South Carolina	Agent	Approved	12/05/2025
B	Texas	Agent	Approved	12/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	12/08/2025



## Qualifications

### Branch Office Locations

#### **AMERIPRISE FINANCIAL SERVICES, LLC**

1819 Main St Ste 1002  
10th Floor  
Sarasota, FL 34236



## 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 1 state securities law exam.**

#### 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
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 General Securities Representative Examination (S7)	Series 7	04/25/1987
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/1987
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### 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	11/10/2006 - 12/10/2025	WELLS FARGO ADVISORS	CRD# 19616	SARASOTA, FL
B	11/10/2006 - 12/10/2025	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SARASOTA, FL
B	07/13/2001 - 11/21/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	EDISON, NJ
IA	07/13/2001 - 11/21/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	EDISON, NJ
B	07/31/1993 - 07/20/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	07/27/1987 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	05/29/1987 - 07/29/1987	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	04/29/1987 - 07/10/1987	VICEROY INTERNATIONAL SECURITIES CORP.	CRD# 13780	

#### 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
12/2025 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Representative	Y	Sarasota, FL, United States
11/2016 - 12/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SHORT HILLS, NJ, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SHORT HILLS, 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	2
Judgment/Lien	1

### 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC.
<b>Allegations:</b>	CLAIMANTS, WHO PURCHASED SUCTION RATE SECURITIES IN 2006 AND TRANSFERRED THEM TO WACHOVIA IN NOVEMBER 2006, ALLEGE THAT THEIR FA MISREPRESENTED AUCTION RATE SECURITES AS MONEY MARKET EQUIVALENT.
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES
<b>Alleged Damages:</b>	\$509,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	09-02972
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/15/2009

### Customer Complaint Information



**Date Complaint Received:** 06/15/2009  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 04/22/2010  
**Settlement Amount:** \$239,999.00  
**Individual Contribution Amount:** \$0.00

**Firm Statement**

THE COMPLAINT AROSE BECAUSE OF UNPRECEDENTED MARKET EVENTS THAT CAUSED THE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES. THE FIRM, UBS, AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE CLIENT. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** WELLS FARGO ADVISORS, LLC

**Allegations:** ALLEGATIONS RECEIVED AT WELLS FARGO ADVISORS LLC: CLAIMANTS, RESIDENTS OF FLORIDA ALLEGE MISREPRESENTATION, NEGLIGENCE, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, SUITABILITY AND VIOLATION OF FINRA CONDUCT RULES AGAINST FA FOR ALLEGEDLY FAILING TO INFORM THEM WHEN THEIR INVESTMENTS OF AUCTION RATE PREFERRED SECURITIES WERE FAILING DURING 2006-2008. CLAIMANTS SEEK CONSEQUENTIAL DAMAGES OF \$509,000, PLUS INTEREST AND FEES.  
\*\*ALLEGATIONS RECEIVED AT UBS: TIME FRAME: 2007 - NOVEMBER 2008  
CLIENT ALLEGES THAT THE FA TOLD THEM THAT THE AUCTION RATE SECURITIES THEY PURCHASED WERE CASH EQUIVALENTS. DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000. \*\*ARBITRATION ALLEGATIONS: CLAIMANTS, WHO PURCHASED AUCTION RATE SECURITIES IN 2006 AND TRANSFERRED THEM TO WACHOVIA IN NOVEMBER 2006, ALLEGE THAT THEIR FA MISREPRESENTED AUCTION RATE SECURITIES AS MONEY MARKET EQUIVALENT.

**Product Type:** Other: ARS-CLOSED END FUNDS  
**Alleged Damages:** \$509,000.00  
**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 #:** 09-02969

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 06/10/2009

### Customer Complaint Information

**Date Complaint Received:** 06/16/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/07/2011

**Settlement Amount:** \$18,500.00

**Individual Contribution  
Amount:** \$0.00

### Broker Statement

THIS DRP IS A CORRECTION TO THE PREVIOUSLY FILED DRP. (SEE #4) \*\*\*  
ARBITRATION #09-02972 IS VS. UBS AND ARBITRATION #09-02969 IS VS.  
WELLS FARGO ADVISORS, LLC. ARE BOTH TITLED THE SAME AND MAKE  
THE SAME ALLEGATIONS. #09-02972 (UBS) HAS SETTLED FOR THE SUM  
OF \$239,999 ON 4/22/10. FA DID NOT CONTRIBUTE TO THE SETTLEMENT.  
THE COMPLAINT AROSE BECAUSE OF UNPRECEDENTED MARKET EVENTS  
THAT CAUSED THE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR  
AUCTION RATE SECURITIES. THE FIRM, UBS, AGREED TO REPURCHASE  
THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT. THIS  
WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE  
REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S  
SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY  
THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A  
PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE  
AGREEMENT BETWEEN THE FIRM AND THE CLIENT. THE NAMED  
REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE  
NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE  
TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT"  
REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION  
AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS  
POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN  
CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED  
AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA  
REGULATORY NOTICE 09-12. \*\*ARBITRATION #09-02969 (WFA) -WITHOUT  
ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR  
\$18,500.00 TO AVOID THE EXPENSE AND UNCERTAINTY OF ARBITRATION.

### Disclosure 2 of 2

**Reporting Source:** Regulator

**Employing firm when  
activities occurred which led  
to the complaint:** SMITH BARNEY SHEARSON, INC.



**Allegations:** CHURNING

**Product Type:**

**Alleged Damages:** \$20,173.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #94-00188

**Date Notice/Process Served:** 01/21/1994

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 12/27/1994

**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$14,202.00 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY SHEARSON, INC.

**Allegations:** THE ALLEGATIONS WERE EXCESSIVE TRADING.

**Product Type:**

**Alleged Damages:** \$20,173.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 94-00188

**Date Notice/Process Served:** 01/21/1994

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 12/27/1994

**Monetary Compensation Amount:** \$14,202.00



**Individual Contribution  
Amount:**

**Broker Statement**

SMITH BARNEY MUST PAY THE CLAIMANT \$14,202.  
I HANDLED CLAIMANTS OBJECTIVE AFTER RECEIVING HIS  
AUTHORIZATION. THE ACCOUNT HAD A POSITIVE RATE OF RETURN  
THROUGHOUT MY MANAGEMENT.



### Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$112,686.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	02/26/2020
<b>Date Individual Learned:</b>	04/14/2020
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	IRS
<b>Location of Court:</b>	Essex, NJ
<b>Docket/Case #:</b>	2020021802
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	currently working on being resolved



## End of Report

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