



IAPD Report

GERI EISENMAN PELL

CRD# 1555728

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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

GERI EISENMAN PELL (CRD# 1555728)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/22/1986
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/20/2010

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
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No information reported.

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	5



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	General Securities Representative	Approved	10/22/1986
B	Arizona	Agent	Approved	10/30/2008
B	California	Agent	Approved	11/15/2000
IA	California	Investment Adviser Representative	Approved	09/22/2022
B	Colorado	Agent	Approved	04/06/2013
B	Connecticut	Agent	Approved	12/02/1986
IA	Connecticut	Investment Adviser Representative	Approved	06/06/2019
B	Delaware	Agent	Approved	08/11/2021
B	District of Columbia	Agent	Approved	06/19/2012
B	Florida	Agent	Approved	03/18/1987
B	Georgia	Agent	Approved	10/01/2012
B	Hawaii	Agent	Approved	09/27/2021
B	Idaho	Agent	Approved	08/17/2022



Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	11/01/2007
B	Indiana	Agent	Approved	07/19/2019
B	Kentucky	Agent	Approved	09/26/2022
B	Louisiana	Agent	Approved	09/20/2022
B	Maine	Agent	Approved	03/12/2012
B	Maryland	Agent	Approved	09/03/2002
B	Massachusetts	Agent	Approved	04/22/1998
B	Michigan	Agent	Approved	06/01/2021
B	Minnesota	Agent	Approved	10/02/2012
B	Montana	Agent	Approved	01/06/2014
B	Nevada	Agent	Approved	12/04/2017
B	New Hampshire	Agent	Approved	01/19/2016
B	New Jersey	Agent	Approved	12/02/1986
B	New Mexico	Agent	Approved	08/18/2022
B	New York	Agent	Approved	10/22/1986
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	02/25/2016
B	Ohio	Agent	Approved	10/31/2018
B	Oregon	Agent	Approved	05/08/2018



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	04/20/1998
B Puerto Rico	Agent	Approved	01/11/2018
B Rhode Island	Agent	Approved	03/07/2012
B South Carolina	Agent	Approved	04/29/2013
B South Dakota	Agent	Approved	08/15/2018
B Tennessee	Agent	Approved	12/22/2017
B Texas	Agent	Approved	10/21/2010
IA Texas	Investment Adviser Representative	Restricted Approval	10/20/2010
B Vermont	Agent	Approved	10/10/2012
B Virginia	Agent	Approved	12/01/2000
B Washington	Agent	Approved	10/30/2013
B Wyoming	Agent	Approved	05/20/2010

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
800 WESTCHESTER AVE
STE 300
RYE BROOK, NY 10573-1354

AMERIPRISE FINANCIAL SERVICES, LLC
Stamford, 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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

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	10/18/1986
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/15/1994
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 Uniform Securities Agent State Law Examination (S63)	Series 63	09/12/1986
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

[Redacted area]

No information reported.

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	Rye Brook, NY, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Rye Brook, 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; 7 Wisner Road, , Warwick, NY, 10990; Not Investment-Related; 12/16/2021 / Single Family; 300 East 40th Street, Apt 28R, New York, NY, 10016; Not Investment-Related; 06/01/2026. Business Ownership; SABABA LLC.; none; Real estate. This is going to hold a condo I will be buying for a second Ameriprise office for Pell Wealth Partners.; 27 Half Moon Way, , Stamford, CT, 06902; Not Investment-Related; 10/19/2012; 1 to 9 hours per month; 0 during trading hours / Gerispa LLC; Administrative; rental real estate; 7 Wisner Rd, , Warwick, NY, 10990; Not Investment-Related; 07/02/2021; 1 to 9 hours per month; 1 to 9 during trading hours / RPWM Partners, LLC; Co-owner; Manage Ameriprise Business; 262 S River Rd, Suite 201, Bedford, NH, 03110; Investment-Related; 04/08/2010; 1 to 9 hours per month; 1 to 9 during trading hours / Rise Tax Strategies, LLC; Co-owner; Tax Preparation; PO Box 847, , Merrimack, NH, 03054; Not Investment-Related; 01/01/2025; 0 hours per month; 0 during trading hours / Geriwave, Inc.; Owner; Manage Ameriprise Business; 130 Dolphin Cove Quay, , Stamford, CT, 06902; Investment-Related; 01/21/2026; 20 to 39 hours per month; 20 to 39 during trading hours. Board of Directors; Treehouse Shakers; Board President; Radio City Station P.O. Box 186 New York, NY 10101-0186, , ; 09/01/2004; 1 to 9 hours per month; / Purchase College foundation; board member; 735 Anderson Hill Road, , Purchase, NY, 11577; Investment-Related; 07/06/2020; 1 to 9 hours per month; 1 to 9 during trading hours / UJA Federation of Westchester; Board Member; 925 Westchester Avenue, , White Plains, NY, 10605; Not Investment-Related; 11/15/2011; 1 to 9 hours per month; 1 to 9 during trading hours / Women's Leadership Alliance; Advisory Member; 130 Dolphin Cove Quay, , Stamford, CT, 06902; Not Investment-Related; 04/17/2024; 1 to 9 hours per month; 0 during trading hours. Outside Employment; RPWM Partners LLC; Co-owner; Manage advisory business; 262 S River Rd, Suite 201, Bedford, NH, 03110; Investment-Related; 08/01/2024; 60 hours per month; 60 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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	CLAIMANT ALLEGES RESPONDENT RECOMMENDED 3 UNSUITABLE TIC INVESTMENTS: MOODY TORRANEE, LLC NATIONAL RESIDENCE INN, SIX FORKS STATION, LLC, AND THE PASSCO VILLAGE AT LIONSGATE. CLAIMANT ALSO ALLEGES RESPONDENT FAILED TO CONDUCT PROPER DUE DILIGENCE ON THE INVESTMENTS AND FURTHER ALLEGES THAT RESPONDENT DID NOT ADEQUATELY SUPERVISE CLAIMANT'S ADVISOR.
Product Type:	Other: TENANTS-IN-COMMON INVESTMENT
Alleged Damages:	\$2,438,800.00
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 NJ
Docket/Case #:	14-00646
Filing date of arbitration/CFTC reparation or civil litigation:	03/10/2014

Customer Complaint Information



Date Complaint Received: 03/10/2014
Complaint Pending? No
Status: Settled
Status Date: 09/29/2015
Settlement Amount: \$375,000.00
Individual Contribution Amount: \$0.00
Broker Statement Ameriprise chose to settle the matter in order to avoid the costs associated with FINRA arbitration.

Disclosure 2 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES,INC
Allegations: THE CLIENTS ALLEGED THE ADVISOR'S INVESTMENT RECOMMENDATION AND STRATEGY OF THE VARIABLE INSURANCE POLICY PURCHASED IN NOVEMBER 2006 MAY HAVE BEEN POOR ADVICE.
Product Type: Insurance
Alleged Damages: \$182,930.86
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: 01/04/2011
Complaint Pending? No
Status: Settled
Status Date: 07/23/2012
Settlement Amount: \$12,500.00
Individual Contribution Amount: \$0.00
Broker Statement THE FIRM FOUND THE CLAIM UNJUSTIFIED; HOWEVER THE FIRM SETTLED WITH THE CLIENTS TO AVOID THE COSTS AND EXPENSES OF AN ARBITRATION HEARING.

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES,INC.
Allegations: CLIENT ALLEGED HER ADVISOR RECOMMENDED UNSUITABLE



INVESTMENTS AND EXERCISED DISCRETION IN HER ACCOUNTS IN EARLY 2007 TO LATE 2008.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$215,095.37

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: 02/18/2010

Complaint Pending? No

Status: Denied

Status Date: 06/15/2010

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE FIRM FOUND THE ADVISOR RECOMMENDED APPROPRIATE INVESTMENTS FOR THE CLIENT'S STATED GOALS, AND DID NOT EXERCISE DISCRETION OVER THE CLIENT'S ACCOUNTS.

Disclosure 4 of 5

Reporting Source: Individual

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

Allegations: THE CLIENT'S ALLEGED [CUSTOMER] WAS PLACED IN A BOND FUND WHICH WAS BEYOND THEIR RISK TOLERANCE AND RESULTED IN A SIGNIFICANT LOSS. THE CLIENTS DID NOT SPECIFY THE RESOLUTION THEY WERE SEEKING.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

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: 02/24/2009

Complaint Pending? No

Status: Denied

Status Date: 12/09/2009

Settlement Amount:

**Individual Contribution Amount:****Broker Statement**

THE FIRM FOUND THE ADVISOR NAMED IN THE COMPLAINT WAS NOT THE SELLING ADVISOR OF THE FUND IN QUESTION. ADDITIONALLY, THE FIRM FOUND THE FUND AND INVESTMENT PORTOLIO WERE CONSISTENT WITH THE CLIENT'S RISK TOLERANCE AND INVESTMENT OBJECTIVE.

Disclosure 5 of 5**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations:

THE CLIENTS ALLEGED THAT LIFE INSURANCE POLICY PURCHASED IN 1998 DID NOT MEET THEIR OBJECTIVES AND THAT I FAILED TO OFFER FULL DISCLOSURE

Product Type:

Insurance

Other Product Type(s):

VARIABLE LIFE INSURANCE

Alleged Damages:

\$6,370.69

Customer Complaint Information**Date Complaint Received:**

02/25/2004

Complaint Pending?

No

Status:

Denied

Status Date:

03/31/2004

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THE FIRM FOUND THAT THE INVESTMENT ALIGNED WITH THE CLIENTS' STATED OBJECTIVES AND THE CLIENTS RECEIVED FULL DISCLOSURE. THE POLICY FALLS UNDER THE CLASS ACTION LAWSUIT; THE CLIENTS RECEIVED A SETTLEMENT AS PART OF THE CLASS ACTION LAWSUIT.



End of Report

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