



IAPD Report

MICHAEL JOHN PARENTI JR

CRD# 1611264

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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

MICHAEL JOHN PARENTI JR (CRD# 1611264)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/30/2022
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/30/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	THE PINNACLE FINANCIAL GROUP	164395	JUPITER, FL	08/27/2021 - 01/31/2023
B	LPL FINANCIAL LLC	6413	ROCKVILLE CENTRE, NY	09/25/2013 - 10/13/2022
IA	LPL FINANCIAL LLC	6413	ROCKVILLE CENTRE, NY	10/02/2013 - 10/28/2015

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
Regulatory Event	2
Customer Dispute	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 **20** 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	09/30/2022
B	Alabama	Agent	Approved	10/04/2022
B	California	Agent	Approved	10/03/2022
B	Colorado	Agent	Approved	10/30/2025
B	Connecticut	Agent	Approved	10/03/2022
B	Florida	Agent	Approved	10/03/2022
IA	Florida	Investment Adviser Representative	Approved	04/04/2023
B	Georgia	Agent	Approved	10/06/2022
B	Illinois	Agent	Approved	11/02/2022
B	Indiana	Agent	Approved	09/23/2024
B	Maine	Agent	Approved	10/04/2022
B	Massachusetts	Agent	Approved	09/30/2022
B	Michigan	Agent	Approved	10/17/2022



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	03/13/2024
B New Jersey	Agent	Approved	10/06/2022
B New York	Agent	Approved	09/30/2022
B Ohio	Agent	Approved	10/05/2022
B Pennsylvania	Agent	Approved	10/04/2022
B South Carolina	Agent	Approved	05/12/2023
B Tennessee	Agent	Approved	10/03/2022
B Texas	Agent	Approved	09/30/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/30/2022
B Virginia	Agent	Approved	09/30/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
4800 N Federal Hwy Ste D200
Boca Raton, FL 33431-3413

AMERIPRISE FINANCIAL SERVICES, LLC
Jupiter, FL



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/30/2002
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/30/2002

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/17/1987

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	09/02/2022
Uniform Securities Agent State Law Examination (S63)	Series 63	01/28/1987

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	08/27/2021 - 01/31/2023	THE PINNACLE FINANCIAL GROUP	CRD# 164395	JUPITER, FL
B	09/25/2013 - 10/13/2022	LPL FINANCIAL LLC	CRD# 6413	ROCKVILLE CENTRE, N
IA	10/02/2013 - 10/28/2015	LPL FINANCIAL LLC	CRD# 6413	ROCKVILLE CENTRE, N
B	10/01/2012 - 09/06/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	SYOSSET, NY
IA	10/01/2012 - 09/06/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	SYOSSET, NY
IA	10/08/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SYOSSET, NY
B	09/24/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SYOSSET, NY
IA	03/18/2010 - 09/21/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	MELVILLE, NY
B	02/02/2001 - 09/21/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	MELVILLE, NY
B	08/25/1998 - 02/12/2001	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PHILADELPHIA, PA
B	07/20/1994 - 08/13/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/05/1991 - 07/29/1994	JOSEPHTHAL LYON & ROSS INCORPORATED	CRD# 3227	NEW YORK, NY
B	07/25/1990 - 10/02/1991	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	07/25/1990 - 10/02/1991	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	02/09/1990 - 06/12/1990	VANDERBILT SECURITIES, INC.	CRD# 14280	
B	05/20/1988 - 02/24/1990	J. T. MORAN & CO., INC.	CRD# 15655	
B	02/02/1987 - 05/20/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	



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	01/21/1987 - 01/31/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
09/2022 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Boca Raton, FL, United States
07/2014 - 09/2022	The Pinnacle Financial Group	Investment Adviser Representative	Y	ROCKVILLE CENTRE, NY, United States
09/2013 - 09/2022	LPL Financial, LLC	Registered Representative	Y	ROCKVILLE CENTRE, 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; condo; 353 s us highway1, b203w, , jupiter, FL, 33477; Investment-Related; 08/01/2017 / condo; 840 bella vista court, , jupiter, FL, 33477; Investment-Related; 07/01/2020. Real Estate License; Yes. Outside Employment; mikeparenti.com; owner - stand up comedy gigs; ; 130 palm ave, apt 26, , jupiter, FL, 33477; Not Investment-Related; 06/01/2018; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Writing a financial book; The book is a guide on trading short-term stocks. Strategies, terminologies psychology of investing from my 38 years of experience. Book intends to be distributed only to the general public only by Amazon.(once approved); 130 palm ave, apt 26, JUPITER, FL, 33477; Investment-Related; 03/27/2025; 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
Regulatory Event	2
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/04/2023
Docket/Case Number:	113472-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/04/2023



Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$29,000.00

Portion Levied against individual: \$29,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 04/04/2023

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On April 4, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Michael John Parenti, Jr. (Parenti). Parenti neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Parenti violated Section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Parenti agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$29,000. The Office agreed to approve Parenti's application as an associated person (RA) with Ameriprise Financial Services, LLC effective April 4, 2023.

Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 04/04/2023

Docket/Case Number: 113472-SR

Employing firm when activity occurred which led to the regulatory action: LPL Financial LLC

Product Type: No Product

Allegations: Allegedly rendered investment advice, from a location within Florida, without being registered by the Office.

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/04/2023

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$29,000.00

Portion Levied against individual: \$29,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/04/2023

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: STATE OF CT DEPT OF BANKING

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/13/1989

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: J.T. MORAN & COMPANY

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 05/21/1990

Sanctions Ordered: Monetary/Fine \$885.00

Other Sanctions Ordered:

Sanction Details: ON MAY 21, 1990 MICHAEL J PARENTI, SR ENTERED



INTO A STIPULATION AGREEMENT WITH THE CT SECURITIES AND BUSINESS INVESTMENTS DIVISION IN SETTLEMENT OF THE ALLEGATIONS RAISED IN A NOTICE OF INTENT TO REVOKE REGISTRATION AS AN AGENT AND A NOTICE OF INTENT TO FINE ISSUED ON OCTOBER 13, 1989. IN SETTLEMENT, MR PARENTI HAS WITHOUT ADMITTING TO OR DENYING ANY VIOLATION OF LAW, AGREED TO PAY A FINE OF \$885 AND TO CERTAIN RESTRICTIONS ON HIS SOLICITATION AND SALE OF SECURITIES IN CT.

Regulator Statement Not Provided

Reporting Source: Individual

Regulatory Action Initiated By: STATE BANKING COMMISSIONER OF CT.

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 10/13/1989

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the regulatory action: J.T. MORAN & COMPANY

Product Type: Equity - OTC

Other Product Type(s):

Allegations: I SOLICITED A STOCK IN CT. THAT WAS NOT BLUE SKIED THERE EMPLOYING FIRM. ST MORAN PRODUCT: EQUITIES

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 05/21/1990

Sanctions Ordered: Monetary/Fine \$885.00

Other Sanctions Ordered:

Sanction Details: 855 FINE COULD NOT SELL STOCK WITH BID PRICE OF LESS THAN \$3 FOR 60 DAYS IN THE STATE OF CT

Broker Statement NOT PROVIDED



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.P. MORGAN SECURITIES LLC

Allegations: CLIENT ALLEGES MISREPRESENTATION AND SUITABILITY REGARDING MUTUAL FUNDS INVESTMENT. ACTIVITY DATES 05/03/2-13-05/03/2013.

Product Type: Mutual Fund

Alleged Damages: \$18,726.03

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: 01/06/2014

Complaint Pending? No

Status: Denied

Status Date: 03/12/2014

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J. P. MORGAN SECURITIES LLC

Allegations: CLIENT ALLEGES MISREPRESENTATION AND SUITABILITY REGARDING MUTUAL FUNDS INVESTMENT. ACTIVITY DATES 5/3/12-5/3/13.

Product Type: Mutual Fund

Alleged Damages: \$18,726.03

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: 01/06/2014
Complaint Pending? No
Status: Denied
Status Date: 03/12/2014
Settlement Amount:
Individual Contribution Amount:



End of Report

This page is intentionally left blank.