



## IAPD Report

# GREGORY LYNN PLANCK

CRD# 1840455

<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

### GREGORY LYNN PLANCK (CRD# 1840455)

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 **02/12/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/05/2012
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/21/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>	DEUTSCHE BANK SECURITIES INC.	2525	MIAMI, FL	01/09/2007 - 08/24/2012
<b>B</b>	DEUTSCHE BANK SECURITIES INC.	2525	MIAMI, FL	01/08/2007 - 08/24/2012
<b>IA</b>	MORGAN STANLEY	7556	MIAMI, FL	02/14/2000 - 01/09/2007

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
Termination	1
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 9 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	09/05/2012
B	Arizona	Agent	Approved	01/22/2020
B	Arkansas	Agent	Approved	05/18/2021
B	California	Agent	Approved	06/09/2020
B	Florida	Agent	Approved	09/05/2012
IA	Florida	Investment Adviser Representative	Approved	11/21/2012
B	Georgia	Agent	Approved	01/15/2026
B	Illinois	Agent	Approved	09/05/2012
B	New Jersey	Agent	Approved	06/24/2014
B	New York	Agent	Approved	11/01/2017
IA	Virginia	Investment Adviser Representative	Approved	10/04/2017
B	Virginia	Agent	Approved	10/26/2017

### Branch Office Locations



## Qualifications

**AMERIPRISE FINANCIAL SERVICES, LLC**  
300 SEVILLA AVE  
STE 208  
CORAL GABLES, FL 33134-6623

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Pinecrest, 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 0 principal/supervisory exams, 4 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
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	08/16/1994
General Securities Representative Examination (S7)	Series 7	06/17/1989
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/12/1988

#### State Securities Law Exams

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

Uniform Investment Adviser Law Examination (S65)	Series 65	11/30/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	07/07/1989

### 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	01/09/2007 - 08/24/2012	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	MIAMI, FL
B	01/08/2007 - 08/24/2012	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	MIAMI, FL
IA	02/14/2000 - 01/09/2007	MORGAN STANLEY	CRD# 7556	MIAMI, FL
B	06/20/1989 - 01/09/2007	MORGAN STANLEY DW INC.	CRD# 7556	MIAMI, FL
B	07/13/1988 - 05/24/1989	PRUCO SECURITIES CORPORATION	CRD# 5685	
B	07/13/1988 - 05/24/1989	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	

### 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	Coral Gables, FL, United States
08/2012 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Miami, FL, 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.

Business Ownership; Planck Wealth Management; ; S Corp; 300 Sevilla Ave Suite 208 Coral Gables, FL 33134, ; Not Investment-Related; 08/15/2012; 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	4
Termination	1
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 4

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Ameriprise Financial Services, Inc.
<b>Allegations:</b>	Between May 2015 through July 2015 the advisor accepted trade instructions from an unauthorized third party who was listed as a beneficiary on the account.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Mutual Fund
<b>Alleged Damages:</b>	\$14,190.17
<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>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/08/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	12/02/2015



Settlement Amount: \$8,695.00

Individual Contribution Amount: \$8,695.00

Disclosure 2 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DEUTSCHE BANK SECURITIES, INC.

Allegations: BREACH OF CONTRACT; FRAUD AND MISREPRESENTATION-COMMON LAW AND STATUTORY; UNSUITABILITY; OVERCONCENTRATION IN FINANCIAL PREFERRED SHARES; IMPROPER SWITCHING OF MUTUAL FUNDS IN ORDER TO EARN FEES

Product Type: Mutual Fund
Other: VARIOUS SECURITIES

Alleged Damages: \$308,060.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #09-05107

Date Notice/Process Served: 08/31/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/13/2011

Disposition Detail: ON OR ABOUT NOVEMBER 24, 2010, CLAIMANT NOTIFIED FINRA THAT THE PARTIES HAD REACHED A RESOLUTION OF THIS MATTER. ON JANUARY 3, 2011, PARTIES FULLY EXECUTED A SETTLEMENT AGREEMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEUTSCHE BANK SECURITIES INC. ("DBSI")

Allegations: THE CLAIM ALLEGES THAT MR. PLANCK IMPROPERLY SOLD EXISTING MUTUAL FUNDS AND PURCHASED NEW MUTUAL FUNDS WITH HIGHER SALES CHARGES. THE CLAIM FURTHER ALLEGES THAT MR. PLANCK RECOMMENDED AN OVERCONCENTRATED INVESTMENT IN AN UNSUITABLE FINANCIAL PREFERRED SECURITY. THE TIME PERIOD AT ISSUE IS MARCH 2008 THROUGH MARCH 2009.

Product Type: Mutual Fund
Other: FINANCIAL PREFERRED SECURITY

Alleged Damages: \$308,060.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA



**Docket/Case #:** [FINRA NO. 09-05107](#)

**Date Notice/Process Served:** 09/15/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/13/2011

**Monetary Compensation Amount:** \$90,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** [CUSTOMER] WAS SOLICITED BY ANOTHER CLIENT ADVISOR WHO IS NO LONGER WORKING WITH DEUTSCHE BANK. ALL TRANSACTIONS, TERMS, RATES, AND FEES WERE DISCLOSED AND AGREED UPON BY [CUSTOMER]. BASED ON FINANCIAL DETAILS OF THE CLIENT INFORMATION FORM COMPLETED BY [CUSTOMER], THERE WERE NO OVERCONCENTRATED INVESTMENTS. THESE ALLEGATIONS ARE BASELESS AND WITHOUT MERIT.

#### Disclosure 3 of 4

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** DEUTSCHE BANK SECURITIES INC. ("DBSI")

**Allegations:** CLAIMANT ALLEGES THAT MR. PLANCK CHARGED EXCESSIVE FEES, ENGAGED IN AN UNSUITABLE TRADING STRATEGY, AND BREACHED HIS FIDUCIARY DUTY.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Other: BONDS AND ALTERNATIVE INVESTMENTS

**Alleged Damages:** \$9,900,000.00

**Alleged Damages Amount Explanation (if amount not exact):** CLAIMANT WAS SEEKING APPROXIMATELY \$9.9 MILLION.

#### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?**

**Status:**

**Status Date:** 03/09/2009

**Settlement Amount:**

**Individual Contribution Amount:**

#### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** FINRA NO. 09-01006



**Date Notice/Process Served:** 03/09/2009  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 09/17/2009  
**Monetary Compensation Amount:** \$1,975,000.00  
**Individual Contribution Amount:** \$50,000.00  
**Broker Statement** ALL TRADES THAT WERE EXECUTED WERE SUITABLE AND AGREED UPON BY CLIENT.

**Disclosure 4 of 4**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MSDW  
**Allegations:** POA FOR CUSTOMER ALLEGES FINANCIAL ADVISOR MISMANAGED THE CUSTOMER'S ACCOUNT FROM JANUARY 2006 TO PRESENT.  
**Product Type:** Other  
**Other Product Type(s):** BONDS/EQUITIES  
**Alleged Damages:** \$75,816.96

**Customer Complaint Information**

**Date Complaint Received:** 02/14/2006  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 04/06/2006  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** COMPLAINT DENIED.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** DEUTSCHE BANK SECURITIES INC. ("DBSI")  
**Termination Type:** Discharged  
**Termination Date:** 07/26/2012  
**Allegations:** AFTER GIVING AN INDICATION OF INTEREST IN SYNDICATE OFFERING, CLIENT ALLEGED THAT HE WAS NOT CONTACTED BY CLIENT ADVISOR TO CONFIRM HIS AGREEMENT TO PURCHASE THE SYNDICATE SHARES ALLOCATED TO HIM PRIOR TO THEIR BEING PLACED IN HIS ACCOUNT.  
**Product Type:** Equity-OTC

---

**Reporting Source:** Individual  
**Firm Name:** DEUTSCHE BANK SECURITIES INC. ("DBSI")  
**Termination Type:** Discharged  
**Termination Date:** 07/26/2012  
**Allegations:** AFTER GIVING AN INDICATION OF INTEREST IN SYNDICATE OFFERING, CLIENT ALLEGED THAT HE WAS NOT CONTACTED BY CLIENT ADVISOR TO CONFIRM HIS AGREEMENT TO PURCHASE THE SYNDICATE SHARES ALLOCATED TO HIM PRIOR TO THEIR BEING PLACED IN HIS ACCOUNT.  
**Product Type:** Equity-OTC



### 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>	INTERNAL REVENUE SERVICE
<b>Judgment/Lien Amount:</b>	\$60,484.98
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	07/16/2019
<b>Date Individual Learned:</b>	09/06/2019
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	DADE COUNTY RECORDER'S OFFICE
<b>Location of Court:</b>	MIAMI, FLORIDA
<b>Docket/Case #:</b>	2019-R-0439425
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	MY CPA IS CURRENTLY SPEAKING WITH IRS. IT LOOKS AS IF THERE WERE TWO RETURNS FILED IN 2015. THIS IS NOW BEING CORRECTED.



## End of Report

This page is intentionally left blank.