



## IAPD Report

# JOSEPH F PIERCE

CRD# 1987094

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**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

### JOSEPH F PIERCE (CRD# 1987094)

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 **02/24/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/24/2018
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/24/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **36** 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>	PROSPERA FINANCIAL SERVICES, INC.	10740	PLYMOUTH, MA	12/05/2006 - 08/28/2018
<b>B</b>	PROSPERA FINANCIAL SERVICES, INC.	10740	PLYMOUTH, MA	09/19/2006 - 08/28/2018
<b>IA</b>	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	PLYMOUTH, MA	11/30/2005 - 09/20/2006

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
Regulatory Event	1
Customer Dispute	2



## 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 **36** 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>B</b>	FINRA	General Securities Representative	Approved	08/24/2018
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	08/24/2018
<b>B</b>	Alabama	Agent	Approved	08/24/2018
<b>B</b>	Alaska	Agent	Approved	02/05/2026
<b>B</b>	Arizona	Agent	Approved	03/24/2025
<b>B</b>	California	Agent	Approved	08/27/2018
<b>B</b>	Colorado	Agent	Approved	10/09/2019
<b>B</b>	Connecticut	Agent	Approved	08/24/2018
<b>B</b>	District of Columbia	Agent	Approved	08/24/2018
<b>IA</b>	Florida	Investment Adviser Representative	Approved	08/27/2018
<b>B</b>	Florida	Agent	Approved	08/28/2018
<b>B</b>	Georgia	Agent	Approved	06/06/2022
<b>B</b>	Hawaii	Agent	Approved	05/27/2020



## Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	03/05/2024
B	Kentucky	Agent	Approved	08/24/2018
B	Louisiana	Agent	Approved	08/24/2018
B	Maine	Agent	Approved	08/30/2018
B	Maryland	Agent	Approved	08/24/2018
B	Massachusetts	Agent	Approved	09/25/2018
B	Minnesota	Agent	Approved	04/16/2019
B	Mississippi	Agent	Approved	02/21/2024
IA	Mississippi	Investment Adviser Representative	Approved	02/21/2024
B	New Hampshire	Agent	Approved	09/21/2018
B	New Jersey	Agent	Approved	09/17/2018
B	New Mexico	Agent	Approved	03/04/2019
B	New York	Agent	Approved	08/24/2018
B	North Carolina	Agent	Approved	06/02/2022
B	Ohio	Agent	Approved	08/24/2018
B	Oregon	Agent	Approved	08/24/2018
B	Pennsylvania	Agent	Approved	08/24/2018
B	Puerto Rico	Agent	Approved	07/09/2021
B	Rhode Island	Agent	Approved	08/28/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	03/12/2024
<b>B</b> South Dakota	Agent	Approved	08/24/2018
<b>B</b> Tennessee	Agent	Approved	11/10/2022
<b>B</b> Texas	Agent	Approved	08/24/2018
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	08/24/2018
<b>B</b> Utah	Agent	Approved	08/24/2018
<b>B</b> Vermont	Agent	Approved	08/29/2018
<b>B</b> Virginia	Agent	Approved	08/24/2018
<b>B</b> Washington	Agent	Approved	03/17/2025

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
15 Caswell Ln Ste 1  
Plymouth, MA 02360

**AMERIPRISE FINANCIAL SERVICES, LLC**  
41 Taunton Grn Ste 101  
Taunton, MA 02780

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Ft Lauderdale, 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 - Options Module Examination (S9)	Series 9	09/23/2004
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/27/2004

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/16/1989

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/04/1989

### 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	12/05/2006 - 08/28/2018	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	PLYMOUTH, MA
B	09/19/2006 - 08/28/2018	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	PLYMOUTH, MA
IA	11/30/2005 - 09/20/2006	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	PLYMOUTH, MA
B	04/23/2004 - 09/20/2006	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	PLYMOUTH, MA
B	04/23/2004 - 05/10/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	10/01/1999 - 04/23/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	05/25/1999 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC
B	12/16/1994 - 04/20/1999	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/27/1994 - 12/25/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/31/1993 - 01/25/1994	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	04/10/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	09/07/1989 - 03/20/1991	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY

### 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	Plymouth, MA, United States
08/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	Fort Lauderdale, MA, United States
09/2006 - 08/2018	PROSPERA FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2004 - 08/2018	WACHOVIA SECURITIES, LLC	FINANCIAL ADVISER	Y	NORWELL, MA, 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; Plymouth Rock Financial Partners LLC; Co-owner; This is our Ameriprise franchise LLC; 15 caswell lane suite 1, suite 1, plymouth, MA, 02360; Investment-Related; 01/01/2007; 40 to 59 hours per month; 40 to 59 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	1
Customer Dispute	2

### 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 1

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NFA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/31/1987

**Docket/Case Number:** 87-BCC-025

**Employing firm when activity occurred which led to the regulatory action:** STOTLER & CO.

**Product Type:**

**Other Product Type(s):**

**Allegations:** ALLEGED THAT I FAILED TO SUPERVISE AN EMPLOYEE. EMPLOYING FIRM: STOTIER & CO. ALLEGED DAMAGE AMOUNT: N/A

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 09/28/1989

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** AGREED NOT TO REAPPLY FOR NFA MEMBERSHIP FOR A



**Broker Statement**

PERIOD OF SIX MONTHS.

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 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** MA CLIENT PURCHASED A \$47,080.13 JOHN HANCOCK VENTURE VANTAGE VARIABLE ANNUITY ON OCTOBER 30, 2000. CLIENT STATES THAT THE PRODUCT SHOULD HAVE INCLUDED A GRIP RIDER; IT DOES NOT. CLIENT DEMANDS THAT THE RIDER BE REINSTATED AND THE BASE RECALCULATED FROM THE PURCHASE DATE. DAMAGES ARE ESTIMATED AS THE DIFFERENCE BETWEEN PURCHASE PRICE AND SURRENDER OF THE CONTRACT: \$10,278.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$10,278.00

#### Customer Complaint Information

**Date Complaint Received:** 04/13/2007

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/13/2007

**Settlement Amount:** \$9,054.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** SETTLED IN THE INTEREST OF CUSTOMER RELATIONS AND TO AVOID POTENTIALLY TIME CONSUMING AND COSTLY LITIGATION, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$9.054.

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES FINANCIAL NETWORK, LLC

**Allegations:** MA CLIENT PURCHASED A \$47,080.13 JOHN HANCOCK VENTURE VANTAGE VARIABLE ANNUITY ON OCTOBER 30, 2000. CLIENT STATES THAT THE PRODUCT SHOULD HAVE INCLUDED A GRIP RIDER; IT DOES NOT. CLIENT DEMANDS THAT THE RIDER BE REINSTATED AND THE BASE RECALCULATED FROM THE PURCHASE DATE. DAMAGES ARE ESTIMATED AS THE DIFFERENCE BETWEEN PURCHASE PRICE AND SURRENDER OF THE CONTRACT: \$10,278.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$10,278.00



### Customer Complaint Information

**Date Complaint Received:** 04/16/2007

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/13/2007

**Settlement Amount:** \$9,054.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** DRP FILED IN ERROR.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES FINANCIAL NETWORK, LLC

**Allegations:** MA CLIENT PURCHASED A \$47,080.13 JOHN HANCOCK VENTURE VANTAGE VARIABLE ANNUITY ON OCTOBER 30, 2000. CLIENT STATES THAT THE PRODUCT SHOULD HAVE INCLUDED A GRIP RIDER; IT DOES NOT. CLIENT DEMANDS THAT THE RIDER BE REINSTATED AND THE BASE RECALCULATED FROM THE PURCHASE DATE. DAMAGES ARE ESTIMATED AS THE DIFFERENCE BETWEEN PURCHASE PRICE AND SURRENDER OF THE CONTRACT: \$10,278.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$10,278.00

### Customer Complaint Information

**Date Complaint Received:** 04/16/2007

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/13/2007

**Settlement Amount:** \$9,054.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** AT THE TIME THAT THE VARIABLE ANNUITY WAS SOLD TO THE CLIENT, THE GRIP RIDER WAS NOT AVAILABLE. SETTLED TO AVOID POTENTIALLY TIME CONSUMING AND COSTLY LITIGATION, WITHOUT ADMITTING LIABILITY.

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PAINWEBBER

**Allegations:** CLAIMANTS CONTENDED THAT STONEHOUSE AND PIERCE MADE UNSUITABLE INVESTMENTS, MISREPRESENTATIONS AND FAILED TO



EXECUTE A SELL ORDER, IN AUGUST 1995, REGARDING THE STOCK OF ARAKIS ENERGY CORP.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$37,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/15/1999

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 03/15/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 98-04736

**Date Notice/Process Served:** 03/15/1999

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/22/2000

**Monetary Compensation Amount:** \$10,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PAINWEBBER

**Allegations:** ALLEGATIONS AGAINST PAINE WEBBER FA OF BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND UNSUITABLE TRADES OF ARAKIS ENERGY CORP. IN 8/1995 AND VIOLATIONS OF MASSACHUSETTS GENERAL LAWS. ALLEGED DAMAGES: \$37K, TREBLE DAMAGES, PLUS ATTORNEY'S FEES, COSTS AND INTEREST.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$37,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/15/1999

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 03/15/1999

**Settlement Amount:**



**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** NASD; 98-04736

**Date Notice/Process Served:** 03/15/1999

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/23/2000

**Monetary Compensation  
Amount:** \$10,000.00

**Individual Contribution  
Amount:** \$0.00

**Broker Statement** CLIENT SETTLED WITH MR. PIERCE AND THEN WITHDREW HIM FROM THE  
SUIT.



## End of Report

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