



IAPD Report

Mark S Marshall

CRD# 1989127

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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

Mark S Marshall (CRD# 1989127)

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 **03/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/20/1989
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/02/1989

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	09/20/1989 - 07/03/2006

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
Criminal	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 **21** 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	09/20/1989
B	California	Agent	Approved	10/14/2021
B	Colorado	Agent	Approved	09/13/2022
B	Florida	Agent	Approved	10/02/1989
IA	Florida	Investment Adviser Representative	Approved	10/02/1989
B	Georgia	Agent	Approved	08/06/1996
B	Illinois	Agent	Approved	09/16/2024
B	Kansas	Agent	Approved	03/26/2019
B	Kentucky	Agent	Approved	09/08/2023
B	Michigan	Agent	Approved	02/22/2024
B	Minnesota	Agent	Approved	04/01/2025
B	Nebraska	Agent	Approved	06/17/2024
B	New Jersey	Agent	Approved	05/22/2025



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	03/20/1997
IA North Carolina	Investment Adviser Representative	Approved	08/07/2024
B Ohio	Agent	Approved	03/07/2016
B Oklahoma	Agent	Approved	07/27/2020
B Pennsylvania	Agent	Approved	12/15/1999
B South Carolina	Agent	Approved	05/16/2022
B Tennessee	Agent	Approved	07/19/2017
B Texas	Agent	Approved	09/07/2010
IA Texas	Investment Adviser Representative	Restricted Approval	09/07/2010
B Utah	Agent	Approved	02/13/2024
B Virginia	Agent	Approved	05/28/2024
B Wisconsin	Agent	Approved	09/02/2014

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 529 N Magnolia Ave
 Orlando, FL 32801

AMERIPRISE FINANCIAL SERVICES, LLC
 Orlando, FL

AMERIPRISE FINANCIAL SERVICES, LLC
 Murphy, NC



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	09/16/1989
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	01/30/1997
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 Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/1989
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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
B	09/20/1989 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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	Orlando, FL, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Orlando, 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; H & M Partners, LLC; Co-owner; Manage Ameriprise Business; 529 N Magnolia Ave , , Orlando, FL, 32801; Not Investment-Related; 11/12/2024; 1 to 9 hours per month; 0 during trading hours / Kingdom Overlook; President; A legal entity to support my practice.I have been made aware that this is a inappropriate name under AMPF guidelines. I am in the process of renaming the S Corp to comply with AMPF naming conventions.I am reporting the business activity to be current with disclosure rules.; 529 N Magnolia Ave, , Orlando, FL, 32801; Not Investment-Related; 05/15/2019; 1 to 9 hours per month; 0 during trading hours / Peachtree Orlando II; Co-owner; Property Ownership; 2709 W Fairbanks Ave, Suite 100, Orlando, FL, 32789; Not Investment-Related; 05/01/2006; 1 to 9 hours per month; 0 during trading hours. Board of Directors; The Christ School; Board Member; 106 E. Church St, , Orlando, FL, 32801; Not Investment-Related; 08/01/2020; 1 to 9 hours per month; 1 to 9 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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	BIG STAR GROCERY (PRESENTLY NON-EXISTENT), TALLAHASSEE, FL 76-0507T
Charge Date:	02/04/1976
Charge Details:	2ND DEGREE MISDEMEANOR CHARGE-ATTEMPT TO COMMIT SHOPLIFTING \$4.95 PACKAGE OF SANDWICH MEAT.
Felony?	
Current Status:	Final
Status Date:	02/28/1976
Disposition Details:	ADJUDICATION OF GUILTY WITHHELD & ONE MONTH PROBATION
Broker Statement	AS A COLLEGE STUDENT I ATTEMPTED TO SHOPLIFT A PACKAGE OF SANDWICH MEAT IN ORDER TO EAT LUNCH. I WAS CAUGHT AND CHARGED ACCORDINGLY. THIS EVENT HAPPENED JANUARY 26, 1976.



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: Regulator

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

Allegations: BREACH OF EXPRESS AND/OR IMPLIED CONTRACT; FAILURE TO EXERCISE DUE DILIGENCE; NEGLIGENCE; FAILURE TO EXECUTE; BREACH OF FIDUCIARY DUTY; MISREPRESENTATIONS; FAILURE TO DISCLOSE; OMISSIONS OF FACTS; AND SUITABILITY

Product Type: Insurance
Other: LONG TERM CARE POLICY

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #08-01298](#)

Date Notice/Process Served: 04/25/2008

Arbitration Pending? No

Disposition: Stipulated Award

Disposition Date: 10/02/2009

Disposition Detail: ON OR ABOUT JUNE 10, 2009, CLAIMANT ADVISED FINRA DISPUTE RESOLUTION THAT SHE HAD SETTLED THE MATTER WITH RESPONDENT. ON OR ABOUT AUGUST 4, 2009, THE PARTIES ENTERED INTO A SETTLEMENT AGREEMENT AND RELEASE. CLAIMANT'S WITHDRAWAL OF HER CLAIMS AGAINST RESPONDENT, WITH PREJUDICE, IS ACCEPTED BY FINRA DISPUTE RESOLUTION AND RESPONDENT IS DISMISSED, WITH PREJUDICE, FROM THE MATTER.

Reporting Source: Individual

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

Allegations: CLAIMANT STATES THAT ADVISOR RECOMMENDED AND SOLD AN UNSUITABLE VUL PRODUCT. CLAIMANT ALLEGES ADVISOR RECOMMENDED THE PRODUCT INCREASE COMMISSIONS. CLAIMS ALSO INCLUDE THAT ADVISOR SOLD A LTC POLICY, COLLECTED 50K TO GO TOWARDS THE POLICY AND THEN FAILED TO NOTIFY HER THAT SHE WOULD BE RESPONSIBLE FOR PREMIUMS.

Product Type: Insurance
Other: VARIABLE LIFE INSURANCE



Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received: 05/05/2008

Complaint Pending? No

Status: Denied

Status Date: 07/29/2009

Settlement Amount: \$28,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: [CASE NO. 08-01298 FL](#)

Date Notice/Process Served: 05/05/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/29/2009

Monetary Compensation Amount: \$28,000.00

Individual Contribution Amount: \$0.00

Broker Statement AMERIPRISE CHOSE TO SETTLE THE MATTER IN ORDER TO AVOID THE COSTS ASSOCIATED WITH ARBITRATION. I WAS DISMISSED FROM THE CASE AS A PART OF THE SETTLEMENT AND I CONTRIBUTED NOTHING TO THE SETTLEMENT AMOUNT.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERPRISE FINANCIAL SERVICES

Allegations: THE CLIENT ALLEGED INVESTMENTS WERE NOT SUITABLE GIVEN HER FINANCIAL CIRCUMSTANCES AND RISK TOLERANCE BEGINNING IN MAY OF 1999 TO CURRENT

Product Type: Mutual Fund(s)

Alleged Damages: \$263,000.00

Customer Complaint Information

Date Complaint Received: 02/13/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/19/2006



Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE FIRM WAS UNABLE TO TO SUBSTANTIATE THE CLAIMS OF INAPPROPRIATE LOSSES DUE TO POOR ADVICE. THE VARIABLE UNIVERSAL LIFE AND LONG TERM CARE INVESTMENT STRATEGY WAS APPROPRIATE HOWEVER I ERRORED ON NOT CLEARLY EXPLAINING THE PAYMENT PROCESS TO THE CLIENT. IN THE INTEREST OF GOOD CLIENT RELATIONS, THE FIRM MADE AN OFFER TO THE CLIENT HOWEVER THE CLIENT DID NOT ACCEPT THE INITIAL OFFER THROUGH VARIOUS EXTENSIONS TO THE DUE DATE WERE GRANTED.



End of Report

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