



IAPD Report

DAVID NEIL SOIFERMAN

CRD# 1990243

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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

DAVID NEIL SOIFERMAN (CRD# 1990243)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/16/2010
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/16/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	J.P. TURNER & COMPANY, L.L.C.	43177	TAMPA, FL	03/24/2010 - 04/16/2010
IA	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL	09/12/2003 - 03/30/2010
B	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL	11/07/2001 - 03/30/2010

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	6



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 **28** 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	04/16/2010
B FINRA	General Securities Principal	Approved	02/10/2012
B FINRA	General Securities Sales Supervisor	Approved	02/10/2012
B FINRA	Registered Options Principal	Approved	02/10/2012
B Alabama	Agent	Approved	10/14/2021
B Arizona	Agent	Approved	04/16/2010
B Arkansas	Agent	Approved	03/03/2017
B California	Agent	Approved	04/16/2010
B Colorado	Agent	Approved	04/26/2010
B Connecticut	Agent	Approved	04/19/2010
B Florida	Agent	Approved	04/16/2010
IA Florida	Investment Adviser Representative	Approved	04/21/2010
B Georgia	Agent	Approved	04/16/2010



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	04/16/2010
B Indiana	Agent	Approved	04/19/2010
B Kentucky	Agent	Approved	08/09/2011
B Louisiana	Agent	Approved	04/16/2010
B Maryland	Agent	Approved	05/06/2026
B Massachusetts	Agent	Approved	04/21/2010
B Michigan	Agent	Approved	04/16/2010
B Minnesota	Agent	Approved	04/16/2010
B Montana	Agent	Approved	09/14/2023
B Nevada	Agent	Approved	07/31/2019
B New Hampshire	Agent	Approved	04/08/2026
B New Jersey	Agent	Approved	04/16/2010
B New York	Agent	Approved	04/16/2010
B North Carolina	Agent	Approved	10/20/2016
B Ohio	Agent	Approved	04/16/2010
B South Carolina	Agent	Approved	04/19/2010
B Tennessee	Agent	Approved	05/12/2010
B Texas	Agent	Approved	04/16/2010
IA Texas	Investment Adviser Representative	Restricted Approval	04/16/2010



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	08/19/2010
B Virginia	Agent	Approved	04/16/2010

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
4030 W BOY SCOUT BLVD
STE 300
TAMPA, FL 33607-5713

AMERIPRISE FINANCIAL SERVICES, LLC
Tampa, 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 5 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	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	02/25/1998
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/05/1995
 General Securities Principal Examination (S24)	Series 24	02/18/1994

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	02/14/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/03/1989



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
B	03/24/2010 - 04/16/2010	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	TAMPA, FL
IA	09/12/2003 - 03/30/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	11/07/2001 - 03/30/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	11/10/2000 - 11/19/2001	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	ATLANTA, GA
B	09/23/1999 - 11/20/2000	BARRON CHASE SECURITIES, INC.	CRD# 18969	BOCA RATON, FL
B	12/19/1994 - 10/01/1999	HD BROUS & CO., INC.	CRD# 22062	GREAT NECK, NY
B	04/16/1993 - 12/01/1994	J. GREGORY & COMPANY, INC.	CRD# 14892	
B	10/14/1992 - 04/19/1993	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	07/10/1992 - 10/19/1992	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	09/19/1989 - 07/13/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	

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	Tampa, FL, United States
04/2010 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Tampa, FL, United States



Registration & Employment History



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; Single Family; 13624 clubside drive tampa florida 33624, ; ; / Single Family; 13330 moran drive tampa florida 33614, ; ; / Single Family; 13338 Moran drive tampa florida 33614, ; ; / Single Family; 235 scarborough cove longwood florida 32279, ; ; .



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	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, LLC
Allegations:	The client alleged the advisor placed unauthorized trades in their account in December of 2022.
Product Type:	Mutual Fund
Alleged Damages:	\$37,000.00
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:	06/05/2023
Complaint Pending?	No
Status:	Denied
Status Date:	07/06/2023
Settlement Amount:	
Individual Contribution Amount:	



Disclosure 2 of 6

Reporting Source: Individual

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

Allegations: The client alleged that the advisor solicited the sale of shares of an individual stock which had been previously and mutually agreed upon to not sell, resulting in losses.

Product Type: Equity-OTC

Alleged Damages: \$33,449.43

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: 01/09/2023

Complaint Pending? No

Status: Denied

Status Date: 02/08/2023

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Regulator

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

Allegations: BREACH OF FIDUCIARY DUTY; OMISSION OF FACTS

Product Type: Other: UNSPECIFIED SECURITIES

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #09-04105

Date Notice/Process Served: 07/09/2009

Arbitration Pending? No

Disposition: Withdrawn

Disposition Date: 01/14/2010

Disposition Detail: BY LETTER DATED JANUARY 14, 2010, CLAIMANT WITHDREW HIS CLAIMS AGAINST SOIFERMAN.

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Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES MISREPRESENTATION RELATED TO A LIMITED PARTNERSHIP INVESTMENT.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-04105

Filing date of arbitration/CFTC reparation or civil litigation: 07/09/2009

Customer Complaint Information

Date Complaint Received: 08/10/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/25/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIMANT'S ARBITRATION WAS DISMISSED IN ITS ENTIRETY BY THE PANEL. PRIOR TO DISMISSAL, CLAIMANT'S COUNSEL REPRESENTED TO THE PANEL THAT MR. SOIFERMAN WAS NAMED IN ERROR, OF WHICH ASSERTION IS PART OF THE PANEL'S DISMISSAL ORDER IN THIS MATTER.

Disclosure 4 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$400,000.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-05114

Date Notice/Process Served: 02/28/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/01/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: UNSUITABILITY, UNAUTHORIZED TRADE, \$9K

Product Type:

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 95-05114



Date Notice/Process Served: 02/28/1996
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/01/1996
Broker Statement WITHDRAWN
 Not Provided

Disclosure 5 of 6

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: J. GREGORY & CO., INC.

Allegations: BRCH OF FIDUCIARY DT; OMISSION OF FACTS;
 ACCOUNT RELATED-OTHER; ACCOUNT RELATED-NEGLIGENCE

Product Type:
Alleged Damages: \$9,585.24

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-02803

Date Notice/Process Served: 06/19/1995
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/03/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER
 ACTUAL/COMPENSATORY DAMAGES, RELIEF
 REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT;
 ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT; ATTORNEY'S FEES, RELIEF
 REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT; OTHER COSTS,
 RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT;
 INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
 AMOUNT

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: J. GREGORY & CO., INC.
Allegations: Not Provided
Product Type:
Alleged Damages: \$9,585.24

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-02803

Date Notice/Process Served: 06/19/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/03/1996

Broker Statement CLAIMANT DISMISSED ALL. CLAIMS AGAINST ME WITH PREJUDICE.
Not Provided

Disclosure 6 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY; MISREPRESENTATION; OMISSION OF FACTS

Product Type:

Alleged Damages: \$32,420.21

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-04403

Date Notice/Process Served: 11/16/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/30/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY, MISREPRESENTATION AND OMISSION OF FACTS
DAMAGES IN THE AMOUNT OF \$32,420.21

Product Type:

Alleged Damages: \$32,420.21

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-04403

Date Notice/Process Served: 11/16/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/30/1995

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount:

Broker Statement WITHDRAWN
Not Provided



End of Report

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