User Guidance

www.adviserinfo.sec.gov

IAPD Report

EDMUND MICHAEL IANNELLI

CRD# 2052704

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

EDMUND MICHAEL IANNELLI (CRD# 2052704)

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 **02/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/08/2019
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/08/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	MORGAN STANLEY	149777	PARAMUS, NJ	06/01/2009 - 11/11/2019
IA	MORGAN STANLEY	149777	PARAMUS, NJ	06/01/2009 - 11/11/2019
IA	MORGAN STANLEY & CO. INCORPORATED	8209	RIDGEWOOD, NJ	02/05/2009 - 06/01/2009

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

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 **25** 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	11/08/2019
B	Arizona	Agent	Approved	04/20/2023
B	Arkansas	Agent	Approved	07/10/2025
B	California	Agent	Approved	02/16/2023
B	Colorado	Agent	Approved	01/08/2021
B	Connecticut	Agent	Approved	04/17/2023
B	Florida	Agent	Approved	11/08/2019
B	Illinois	Agent	Approved	04/18/2023
B	Maine	Agent	Approved	05/18/2021
B	Maryland	Agent	Approved	11/08/2019
B	Massachusetts	Agent	Approved	11/08/2019
B	Minnesota	Agent	Approved	08/01/2023
B	Nevada	Agent	Approved	04/21/2023

Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	04/18/2023
B	New Jersey	Agent	Approved	11/08/2019
IA	New Jersey	Investment Adviser Representative	Approved	11/08/2019
B	New York	Agent	Approved	11/08/2019
B	North Carolina	Agent	Approved	04/18/2023
B	Pennsylvania	Agent	Approved	11/08/2019
B	Rhode Island	Agent	Approved	09/18/2023
B	South Carolina	Agent	Approved	04/24/2023
B	Tennessee	Agent	Approved	05/12/2023
B	Texas	Agent	Approved	11/08/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	11/08/2019
B	Vermont	Agent	Approved	10/03/2022
B	Virginia	Agent	Approved	04/17/2023
B	Washington	Agent	Approved	04/14/2023
B	West Virginia	Agent	Approved	11/08/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
250 PEHLE AVE STE 500
PARK 80 WEST, PLAZA TWO
SADDLE BROOK, NJ 07663

AMERIPRISE FINANCIAL SERVICES, LLC
Ho Ho Kus, NJ

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/21/1990

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/04/2009
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/09/1990

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/01/2009 - 11/11/2019	MORGAN STANLEY	CRD# 149777	PARAMUS, NJ
IA	06/01/2009 - 11/11/2019	MORGAN STANLEY	CRD# 149777	PARAMUS, NJ
IA	02/05/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	RIDGEWOOD, NJ
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	RIDGEWOOD, NJ
B	04/10/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	RIDGEWOOD, NJ
B	04/29/2002 - 04/21/2006	RYAN BECK & CO.	CRD# 3248	NEW YORK, NY
B	07/20/1998 - 05/13/2002	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	08/29/1995 - 07/08/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/01/1991 - 08/29/1995	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.	CRD# 7404	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	Saddle Brook, NJ, United States
11/2019 - 03/2020	AMERIPRISE FINANCIAL SERVICES, INC	Registered Representative	Y	SADDLE BROOK, NJ, United States
01/2015 - 11/2019	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 11/2019	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	PARAMUS, NJ, 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.

Other Business Activities; Hohokus Borough; Town Government - currently appointed as liaison to the recreation commission, deputy commissioner to the Ho-Ho-Kus Police Department, deputy commissioner to the Ho-Ho-Kus volunteer ambulance corps and as deputy chairperson for the shade tree/beautification committee; 333 Warren Ave, , hohokus, NJ, 07423; Not Investment-Related; 01/01/2015; 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
Customer Dispute	4
Termination	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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, LLC
Allegations:	Claimant alleges that from 2019- 2023 her advisor recommended unsuitable investments, specifically structured products.
Product Type:	Other: Structured product
Alleged Damages:	$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-02220
Filing date of arbitration/CFTC reparation or civil litigation:	08/14/2023

Customer Complaint Information

Date Complaint Received:	08/14/2023
Complaint Pending?	No

Status:	Settled
Status Date:	09/10/2024
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Ameriprise Financial chose to settle the matter to avoid the costs and risks associated with FINRA arbitration.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RYAN BECK & CO.
Allegations:	CLIENTS ALLEGE UNSUITABLE BOND PURCHASES IN DECEMBER 2004.
Product Type:	Other: Corporate Bonds
Alleged Damages:	$400,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	06-03453
Date Notice/Process Served:	07/31/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/27/2008
Monetary Compensation Amount:	$90,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RYAN BECK
Allegations:	CLIENTS ALLEGE UNSUITABLE BOND PURCHASES IN DECEMBER 2004.
Product Type:	Other: Corporate Bonds
Alleged Damages:	$400,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/31/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 06-03453

Date Notice/Process Served: 07/31/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/27/2008

Monetary Compensation Amount: $90,000.00

Individual Contribution Amount: $0.00

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RYAN BECK & CO.

Allegations: CLIENT COMPLAINS OF EXCESSIVE COMMISSIONS IN CONNECTION WITH THE MANAGEMENT OF ACCOUNT AND UNSUITABLE TRANSACTIONS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 02/03/2006

Complaint Pending? No

Status: Settled

Status Date: 06/21/2006

Settlement Amount: $62,000.00

Individual Contribution Amount: $0.00

Firm Statement ALLEGED COMPENSATORY DAMAGES WERE UNSPECIFIED. RYAN BECK S SEEKING CONTRIBUTION TOWARD THE SETTLEMENT AGREEMENT FROM MR. IANNELLI.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	RYAN BECK & CO.
Allegations:	CLIENT COMPLAINS OF EXCESSIVE COMMISSIONS IN CONNECTION WITH THE MANAGEMENT OF ACCOUNT. DAMAGES WERE UNSPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	02/03/2006
Complaint Pending?	No
Status:	Settled
Status Date:	06/21/2006
Settlement Amount:	$62,000.00
Individual Contribution Amount:	$0.00

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGED THAT MR. IANNELLI PURCHASED EQUITIES ON MARGIN WITHOUT HIS AUTHORIZATION CUSTOMER CLAIMED DAMAGES OF $50,000. THIS OCCURRED AT MERRILL LYNCH.
Product Type:	
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	09/04/1998
Complaint Pending?	No
Status:	Settled
Status Date:	01/04/1999
Settlement Amount:	$5,000.00
Individual Contribution Amount:	
Firm Statement	MERRILL LYNCH BELIEVES THAT CUSTOMER AUTHORIZED ALL TRADES AND THE USE OF MARGIN. TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION, MERRILL LYNCH MADE A BUSINESS DECISION TO SETTLE THIS MATTER FOR $5,000. MERRILL LYNCH FOUND THAT CUSTOMER WAS MAILED A TRADE CONFIRMATION FOR EACH TRADE. IN ADDITION, CUSTOMER WAS MAILED MONTHLY ACCOUNT STATEMENTS, WHICH DISCLOSED ALL TRADES, MARGIN DEBIT BALANCES AND MARGIN INTEREST.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGES THE PURCHASE OF EQUITIES ON MARGIN WITHOUT HIS AUTHORIZATION. CUSTOMER IS CLAIMING DAMAGES OF $50,000.
Product Type:	
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	09/04/1998
Complaint Pending?	No
Status:	Settled
Status Date:	01/04/1999
Settlement Amount:	$5,000.00
Individual Contribution Amount:	
Broker Statement	MERRILL LYNCH DENIED THE CLAIM. ML BELIEVES THAT CUSTOMER AUTHORIZED ALL TRADES AND THE USE OF MARGIN. ALL TRANSACTIONS WERE DISCUSSED AND AUTHORIZED PRIOR TO EXECUTION.CUSTOMER RECEIVED AN ACTIVITY REVIEW LETTER FROM ML VERIFYING HIS KNOWLEDGE OF HIS TRANSACTIONS IN APRIL, 1998. CUSTOMER SIGNED AND RETURNED THIS LETTER TO ML COMPLIANCE DEPARTMENT.

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:	Individual
Firm Name:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Discharged
Termination Date:	06/23/1998
Allegations:	Not Provided FAILURE TO COMPLY WITH COMPANY POLICY.
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION OF EMPLOYMENT. CLIENT GAVE LIST OF ORDERS TO BUY AND SELL AT SPECIFIC PRICES. TRADES WERE EXECUTED AS TO CLIENTS WISHES. CLIENT DIED DURING THE INTERIM BEFORE LAST TRADE WAS DONE. ESTATES ATTORNEY COMPLAINED 1 YEAR LATER. MERRILL LYNCH ACCUSED ME OF NOT HAVING PROPER AUTHORIZATION TO EXECUTE THESE TRADES AND TERMINATED ME BASED ON "FAILURE TO COMPLY WITH COMPANY POLICY".

End of Report

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