



## IAPD Report

# JASON ANDREW TAUB

CRD# 2100260

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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

### JASON ANDREW TAUB (CRD# 2100260)

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 **06/27/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/15/2018
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/15/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	FLORHAM PARK, NJ	03/17/2008 - 11/30/2018
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	FLORHAM PARK, NJ	11/19/2007 - 11/30/2018
B	VFINANCE INVESTMENTS, INC	44962	FLORHAM PARK, NJ	01/01/2002 - 11/29/2007

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
Regulatory Event	1
Customer Dispute	3



## 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 **23** 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	11/15/2018
<b>B</b>	California	Agent	Approved	11/15/2018
<b>B</b>	Colorado	Agent	Approved	11/15/2018
<b>B</b>	Connecticut	Agent	Approved	11/15/2018
<b>B</b>	Delaware	Agent	Approved	11/15/2018
<b>B</b>	Florida	Agent	Approved	11/15/2018
<b>B</b>	Georgia	Agent	Approved	11/15/2018
<b>B</b>	Illinois	Agent	Approved	11/16/2018
<b>B</b>	Maryland	Agent	Approved	11/15/2018
<b>B</b>	Massachusetts	Agent	Approved	01/23/2019
<b>B</b>	Nevada	Agent	Approved	04/28/2023
<b>B</b>	New Hampshire	Agent	Approved	10/21/2021
<b>B</b>	New Jersey	Agent	Approved	11/15/2018



### Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	11/16/2018
B New Mexico	Agent	Approved	04/25/2023
B New York	Agent	Approved	11/15/2018
B North Carolina	Agent	Approved	11/15/2018
B Ohio	Agent	Approved	11/15/2018
B Oregon	Agent	Approved	10/17/2019
B Pennsylvania	Agent	Approved	11/15/2018
B Rhode Island	Agent	Approved	11/15/2018
B South Carolina	Agent	Approved	11/21/2018
B Tennessee	Agent	Approved	01/19/2022
B Texas	Agent	Approved	11/15/2018
IA Texas	Investment Adviser Representative	Restricted Approval	11/15/2018
B Virginia	Agent	Approved	11/15/2018

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
1420 US Highway 206  
Ste 130  
Bedminster, NJ 07921-2642

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Warren, 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	03/23/1993
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	03/12/2008
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	04/30/1993
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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
IA	03/17/2008 - 11/30/2018	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FLORHAM PARK, NJ
B	11/19/2007 - 11/30/2018	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FLORHAM PARK, NJ
B	01/01/2002 - 11/29/2007	VFINANCE INVESTMENTS, INC	CRD# 44962	FLORHAM PARK, NJ
B	11/24/1999 - 01/01/2002	VFINANCE INVESTMENTS	CRD# 25121	BOCA RATON, FL
B	08/05/1996 - 12/22/1999	LADENBURG, THALMANN & CO., INC.	CRD# 505	NEW YORK, NY
B	03/26/1993 - 08/27/1996	OPPENHEIMER & CO., INC.	CRD# 630	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	Bedminster, NJ, United States
11/2018 - 03/2020	Ameriprise Financial Services, INC.	Registered Representative	Y	Bedminster, NJ, United States
11/2007 - 11/2018	STIFEL, NICOLAUS & COMPANY, INCORPORATED	FINANCIAL ADVISOR	Y	ROSELAND, NJ, 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.

No information reported.



## 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	3

### 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:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/17/2001

**Docket/Case Number:** C10010154

**Employing firm when activity occurred which led to the regulatory action:** LADENBURG, THALMANN & COMPANY, INC.

**Product Type:** Other

**Other Product Type(s):** UNKNOWN TYPE OF SECURITIES

**Allegations:** NASD RULE 2110 - WITHOUT ACCEPTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS THAT WHILE EMPLOYED AT A MEMBER FIRM, ACCEPTED AND EXECUTED ORDERS FROM AN INDIVIDUAL FOR THE ACCOUNT OF A PUBLIC CUSTOMER AT THE FIRM. HOWEVER, TAUB NEVER RECEIVED A WRITTEN POWER OF ATTORNEY CONVEYING SUCH AUTHORITY TO THE INDIVIDUAL AND THEREFORE SHOULD NOT HAVE ACCEPTED ORDERS FROM THE INDIVIDUAL.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 12/17/2001



**Sanctions Ordered:** Monetary/Fine \$2,500.00  
**Other Sanctions Ordered:**  
**Sanction Details:** FINED \$2,500, JOINTLY AND SEVERALLY

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 12/17/2001

**Docket/Case Number:** C10010154

**Employing firm when activity occurred which led to the regulatory action:** LADENBURG, THALMANN & COMPANY, INC.

**Product Type:** Other

**Other Product Type(s):** UNKNOWN TYPE OF SECURITIES

**Allegations:** NASD RULE 2110-WITHOUT ACCEPTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCYION AND TO THE ENTRY OF FINDINGS THAT WHILE EMPLOYED AT A MEMBER FIRM, ACCEPTED AND EXECUTED ORDERS FROM AN INDIVIDUAL FOR THE ACCOUNT OF A PUBLIC CUSTOMER AT THE FIRM. HOWEVER, TAUB NEVER RECIEVED A WRITTEN POWER OF ATTORNEY CONVEYING SUCH AUTHORITY TO THE INDIVIDUAL AND THEREFOR SHOULD NOT HAVE ACCEPTED ORDERS FROM THE INDIVIDUAL.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 12/17/2001

**Sanctions Ordered:** Monetary/Fine \$2,500.00

**Other Sanctions Ordered:**

**Sanction Details:** FINED \$2,500, JOINTLY AND SEVERALLY



### 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 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** STIFEL, NICOLAUS & COMPANY, INCORPORATED

**Allegations:** Customer alleges unauthorized/uninformed trading practices.

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

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** No damage amount is alleged, but the firm has made a good faith determination that the damages from the alleged conduct could be \$5,000 or more.

**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:** 05/10/2019

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/21/2019

#### Settlement Amount:

#### Individual Contribution Amount:

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** STIFEL, NICOLAUS & COMPANY, INCORPORATED

**Allegations:** Customer alleges unauthorized/uninformed trading practices.

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

**Alleged Damages:** \$0.00



**Alleged Damages Amount Explanation (if amount not exact):** No damage amount is alleged, but the firm has made a good faith determination that the damages from the alleged conduct could be \$5,000 or more

**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:** 05/10/2019

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/21/2019

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 2 of 3**

**Reporting Source:** Individual

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

**Allegations:** CLAIMANT ALLEGES THAT REGISTERED REPRESENTATIVE RECOMMENDED UNSUITABLE INVESTMENTS AND FAILED TO ALLOCATE OR DIVERSIFY CLAIMANT'S PORTFOLIO.

**Product Type:** Other: MISCELLANEOUS

**Alleged Damages:** \$150,000.00

**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 #:** 13-01219

**Filing date of arbitration/CFTC reparation or civil litigation:** 04/24/2013

**Customer Complaint Information**

**Date Complaint Received:** 05/06/2013

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 07/05/2013



**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

FINRA ARBITRATION NO. 09-03684 WAS WITHDRAWN BY CLAIMANT ON NOVEMBER 26, 2010, AND CLAIMANT SUBSEQUENTLY FILED FINRA ARBITRATION NO. 13-01219 ON APRIL 24, 2013.

**Disclosure 3 of 3**

**Reporting Source:**

Individual

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

**Allegations:**

CUSTOMER ALLEGED MR. TAUB FAILED TO DISCLOSE FEES ASSOCIATED WITH THE SALE OF MUTUAL FUND B-SHARES. ALLEGED DAMAGES ARE \$5,013.79

**Product Type:**

**Alleged Damages:**

\$5,013.79

**Customer Complaint Information**

**Date Complaint Received:**

06/28/1999

**Complaint Pending?**

Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

PENDING.  
WE DECIDED TO BUY THE PBTBX IN ORDER TO REDUCE THE VOLATILITY IN HIS ACCOUNT AND TAKE A MORE CONSERVATIVE APPROACH TO THE MARKET. I MAILED HIM A PROSPECTUS, AND ADVISED HIM TO READ IT. ONCE HE READ THE PROSPECTUS, I EXPLAINED THE FEE STRUCTURE AGAIN. WE DECIDED TO BUY THE B-SHARES BECAUSE WE WERE BUYING THE FUND AS A LONG-TERM INVESTMENT. CUSTOMER WAS FULLY AWARE OF ALL THE FEES AND EXPENSES, AS WELL AS THE MERITS AND PURPOSE OF INVESTING IN A MUTUAL FUND FOR THE LONG TERM. IN THIS CASE, A PERIOD OF MORE THAN 5 YEARS BECAUSE OF THE DIMINISHING EXPENSE STRUCTURE OF CLASS B SHARES.



## End of Report

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