IAPD Report

ANTHONY VINCENT SCIUTO

CRD# 2101491

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

ANTHONY VINCENT SCIUTO (CRD# 2101491)

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 **02/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/14/2014
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/15/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	05/07/2009 - 07/21/2014
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	WEST PATERSON, NJ	01/02/2009 - 07/18/2014
B	TRANSAMERICA CAPITAL, INC.	8217	DENVER, CO	05/03/2006 - 12/12/2008

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
Judgment/Lien	5

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 **12** 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 Principal	Approved	07/14/2014
B	FINRA	General Securities Representative	Approved	07/14/2014
B	Arizona	Agent	Approved	07/14/2014
B	California	Agent	Approved	07/14/2014
B	Connecticut	Agent	Approved	04/20/2020
B	Delaware	Agent	Approved	10/09/2014
B	Florida	Agent	Approved	07/14/2014
B	Georgia	Agent	Approved	07/14/2014
B	New Jersey	Agent	Approved	07/15/2014
IA	New Jersey	Investment Adviser Representative	Approved	07/15/2014
B	New York	Agent	Approved	07/14/2014
B	Pennsylvania	Agent	Approved	07/29/2021
B	Rhode Island	Agent	Approved	07/31/2014

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	07/17/2014
B	Virginia	Agent	Approved	07/16/2014

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
THE ATRIUM STE 390
80 E RT 4
PARAMUS, NJ 07652-2647

AMERIPRISE FINANCIAL SERVICES, LLC
Allendale, 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/30/2009

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	01/08/1993
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/24/1990

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/02/2009
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/31/1990

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
IA	05/07/2009 - 07/21/2014	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	01/02/2009 - 07/18/2014	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	WEST PATERSON, NJ
B	05/03/2006 - 12/12/2008	TRANSAMERICA CAPITAL, INC.	CRD# 8217	DENVER, CO
B	12/08/1999 - 05/01/2006	PACIFIC SELECT DISTRIBUTORS, INC.	CRD# 4452	NEWPORT BEACH, CA
B	11/23/1998 - 11/30/1999	SUNAMERICA CAPITAL SERVICES, INC.	CRD# 13158	JERSEY CITY, NJ
B	08/11/1997 - 09/24/1998	PILGRIM AMERICA SECURITIES, INC.	CRD# 37886	WINDSOR, CT
B	02/02/1997 - 08/13/1997	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	01/23/1995 - 03/10/1995	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	10/18/1993 - 10/18/1994	SUNAMERICA CAPITAL SERVICES, INC.	CRD# 13158	JERSEY CITY, NJ
B	06/29/1993 - 10/05/1993	WATERHOUSE SECURITIES, INC.	CRD# 7870	OMAHA, NE
B	11/06/1990 - 02/26/1993	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	10/26/1990 - 11/05/1990	FIRST INVESTORS CORPORATION	CRD# 305	EDISON, NJ

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	Paramus, NJ, United States
07/2014 - 03/2020	AMERIPRISE FINANCIAL SERVICES INC	ASSOCIATE FINANCIAL ADVISOR	Y	WOODLAND PARK, 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.

Outside Employment; CMA92 LLC; Help with administration duties, speak with clients setting appointment and answering general questions. Review portfolios. Investment research. Insurance research, financial planning data collection.; CMA92 LLC Financial Advisor for Ameriprise; 80 Rt 4 East, , Paramus, NJ, 07652; Investment-Related; 08/26/2025; 60 hours per month; 60 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
Judgment/Lien	5

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	State of New Jersey
Judgment/Lien Amount:	$5,736.86
Judgment/Lien Type:	Tax
Date Filed with Court:	07/21/2022
Date Individual Learned:	10/05/2022
Type of Court:	State Court
Name of Court:	New Jersey State Superior Court
Location of Court:	Trenton, New Jersey
Docket/Case #:	DJ08906222
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$101,501.49
Judgment/Lien Type:	Tax
Date Filed with Court:	03/23/2021
Date Individual Learned:	04/02/2021
Type of Court:	State Court
Name of Court:	BERGEN COUNTY RECORDER'S OFFICE
Location of Court:	BERGEN COUNTY, NEW JERSEY

Docket/Case #:	2021041742
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF NEW JERSEY
Judgment/Lien Amount:	$14,482.00
Judgment/Lien Type:	Tax
Date Filed with Court:	03/08/2018
Date Individual Learned:	04/03/2018
Type of Court:	State Court
Name of Court:	NEW JERSEY STATE SUPERIOR COURT
Location of Court:	TRENTON, NEW JERSEY
Docket/Case #:	DJ04270118
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$140,929.72
Judgment/Lien Type:	Tax
Date Filed with Court:	11/09/2017
Date Individual Learned:	11/13/2017
Type of Court:	State Court
Name of Court:	BERGEN COUNTY RECORDER'S OFFICE
Location of Court:	HACKENSACK, NEW JERSEY
Docket/Case #:	SERIAL NUMBER 284456717
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$113,575.87
Judgment/Lien Type:	Tax
Date Filed with Court:	12/27/2013
Date Individual Learned:	01/27/2014
Type of Court:	State Court

Name of Court:	OFFICE OF THE COUNTY CLERK BERGEN COUNTY
Location of Court:	HACKENSACK, NJ
Judgment/Lien Outstanding?	Yes
Broker Statement	I AM MAKING MONTHLY PAYMENTS AND WORKING CLOSELY WITH AN IRS AGENT TOWARDS A QUICK RESOLUTION.

End of Report

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