User Guidance

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IAPD Report

Scott Brad Conti

CRD# 2105909

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

Scott Brad Conti (CRD# 2105909)

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 **07/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/28/1997
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/17/1997

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	01/28/1997 - 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
Customer Dispute	4
Judgment/Lien	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 **26** 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	01/28/1997
B	Alabama	Agent	Approved	09/16/2022
B	Arizona	Agent	Approved	10/13/2023
B	California	Agent	Approved	01/20/2000
B	Colorado	Agent	Approved	01/24/2024
B	Connecticut	Agent	Approved	03/30/2023
B	Florida	Agent	Approved	07/17/1997
IA	Florida	Investment Adviser Representative	Approved	07/17/1997
B	Georgia	Agent	Approved	03/28/2000
B	Illinois	Agent	Approved	12/13/1999
B	Indiana	Agent	Approved	07/26/2012
B	Kentucky	Agent	Approved	10/12/2021
B	Massachusetts	Agent	Approved	07/22/2025

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	06/28/2021
B	Minnesota	Agent	Approved	07/29/2018
B	Missouri	Agent	Approved	06/28/2000
B	Montana	Agent	Approved	10/23/2015
B	New Hampshire	Agent	Approved	09/02/2025
B	New Mexico	Agent	Approved	03/30/2023
B	New York	Agent	Approved	01/20/2000
B	North Carolina	Agent	Approved	01/20/2000
B	Ohio	Agent	Approved	09/01/2020
B	Pennsylvania	Agent	Approved	05/02/2012
B	South Carolina	Agent	Approved	05/04/2005
B	Tennessee	Agent	Approved	01/07/2016
B	Texas	Agent	Approved	01/20/2000
IA	Texas	Investment Adviser Representative	Restricted Approval	09/28/2006
B	Virginia	Agent	Approved	09/19/2006
B	Wisconsin	Agent	Approved	02/16/2018

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
7432 Monika Manor Dr
Tampa, FL 33625-5826

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 1 state securities law exam.

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	01/24/1997

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/11/1997

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	01/28/1997 - 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	Sarasota, FL, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Sarasota, 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; SBConti, Inc.; President; Tax Preparation; 6151 Lake Osprey Drive Suite 343, , Sarasota, FL, 34240; Not Investment-Related; 10/15/2019; 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
Customer Dispute	4
Judgment/Lien	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 SERVICE,INC.
Allegations:	THE CURRENT TRUSTEE ALLEGED THE INSURED AND GRANTOR BELIEVED THE 2001 REPLACEMENT WAS A POLICY CHANGE.
Product Type:	Insurance
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	01/16/2009
Complaint Pending?	No
Status:	Denied
Status Date:	02/11/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRMS REVIEW FOUND THE INSURED SIGNED THE APPLICATION AND REPLACEMENT PAPERWORK AND RECEIVED STATEMENTS LISTING THE NEW INSURANCE POLICY. WE SENT THE TRUSTEE A LETTER WITH OUR FINDINGS.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	CLAIMANT ALLEGES TAHT IN OCTOBER 2000 HIS ADVISORS AND AEFA RECOMMENDED UNSUITABLE INVESTMENTS, NEGLIGENTLY FAILED TO DISCLOSE FEES AND EXPENSES RELATED TO B SHARES AND BREAKPOINTS, BREACHED THEIR FIDUCIARY DUTY AND AEFA FAILED TO SUPERVISE. CLAIMANT REQUESTS COMPENSATORY DAMAGES IN EXCESS OF $300,000.00 PLUS RECOVERY OF LOSSES, COMMISSIONS, FEES AND INTEREST
Product Type:	Mutual Fund(s)
Other Product Type(s):	BROKERAGE ACCOUNTS
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	05/07/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/05/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR #04-03245
Date Notice/Process Served:	05/05/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/14/2005
Monetary Compensation Amount:	$135,000.00
Individual Contribution Amount:	$0.00
Broker Statement	IN ORDER TO AVOID COSTS AND UNCERTAINTY OF ARBITRATION, AEFA SETTLED AND PAID [CUSTOMER] $135,000. CONTI DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. [CUSTOMER] IN TURN RELEASED AEFA AND CONTI IN FULL FROM THIS CLAIM.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations:	THE CLIENTS ALLEGED THE ADVISOR CONVINCED THEM TO INCREASE THEIR RISK TOLERANCE AND INVEST IN MORE AGGRESSIVE FUNDS THAN HELD PREVIOUSLY. THEY CLAIMED LOSSES IN THE AMOUNT OF $280000.00.
Product Type:	Mutual Fund(s)
Other Product Type(s):	STRATEGIC PORTFOLIO SERVICE ADVANTAGE
Alleged Damages:	$280,000.00

Customer Complaint Information

Date Complaint Received:	06/24/2002
Complaint Pending?	No
Status:	Denied
Status Date:	07/31/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	OUR REVIEW FOUND THE CLIENTS' INVESTMENT HISTORY INDICATES A MODERATELY AGGRESSIVE RISK TOLERANCE. THE CLIENTS HELD GROWTH FUNDS AND LIMITED PARTNERSHIPS UNDER THE FORMER ADVISOR. DOCUMENTATION BY BOTH THE CURRENT AND FORMER ADVISORS SHOW INVESTMENT OBJECTIVES OF CAPITAL APPRECIATION AND TAX CONSIDERATIONS, WITH A MODERATELY AGGRESSIVE TO AGGRESSIVE RISK TOLERANCE. WE FOUND NO EVIDENCE TO SUPPORT THE CLIENTS' CLAIM THAT THEY WERE INVESTED BEYOND THEIR RISK TOLERANCE.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT ALLEGED THAT I DID NOT SURRENDER HIS VARIABLE UNIVERSAL LIFE POLICY AT THE TIME OF HIS REQUEST (JANUARY 2000). THE VALUE OF THE POLICY DECREASED BY APPROXIMATELY $7000 FROM THE TIME OF THE ALLEGED FIRST REQUEST TO THE TIME OF ACTUAL SURRENDER. THE CLIENT IS ASKING THAT THIS AMOUNT BE REIMBURSED TO HIM.
Product Type:	Other
Other Product Type(s):	VARIABLE UNIVERSAL LIFE
Alleged Damages:	$7,000.00

Customer Complaint Information

Date Complaint Received:	07/31/2000
Complaint Pending?	No
Status:	Settled
Status Date:	10/25/2000

Settlement Amount:	$1,172.00
Individual Contribution Amount:	$1,000.00
Broker Statement	OUR REVIEW FOUND THAT THE FIRST DATE THAT WE COULD SUBSTANTIATE WITH EVIDENCE THE CLIENT'S REQUEST TO SURRENDER HIS VARIABLE UNIVERSAL LIFE INSURANCE POLICY WAS MAY 4, 2000. THE VALUE OF THE POLICY ON THAT DATE LESS THE APPLICABLE SURRENDER CHARGE WAS $8035.71. THE VALUE AT THE TIME OF ACTUAL SURRENDER ON JUNE 22, 2000 LESS THE APPLICABLE SURRENDER CHARGE WAS $6863.71. WE OFFERED AND THE CLIENT ACCEPTED A SETTLEMENT WHEREBY WE PAID HIM THE DIFFERENCE IN VALUE FROM MAY 4, 2000 TO JUNE 22, 2000 IN THE AMOUNT OF $1172.00

Judgment/Lien

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

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Purmort & Martin Insurance Agency, LLC
Judgment/Lien Amount:	$2,868.54
Judgment/Lien Type:	Civil
Date Filed with Court:	04/08/2008
Date Individual Learned:	04/15/2008
Type of Court:	State Court
Name of Court:	County Court
Location of Court:	Sarasota County, FL
Docket/Case #:	2007 SC 9445 NC
Judgment/Lien Outstanding?	Yes

End of Report

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