



IAPD Report

GABRIEL YANEZ JR

CRD# 2116095

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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

GABRIEL YANEZ JR (CRD# 2116095)

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 **01/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/26/2020
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/26/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	MORGAN STANLEY	149777	IRVINE, CA	03/18/2011 - 06/29/2020
B	MORGAN STANLEY	149777	IRVINE, CA	03/17/2011 - 06/29/2020
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	NEWPORT BEACH, CA	07/14/2009 - 03/22/2011

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	1
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 **15** 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	06/26/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	06/26/2020
B	Alabama	Agent	Approved	11/04/2022
B	Arizona	Agent	Approved	06/26/2020
B	California	Agent	Approved	06/26/2020
IA	California	Investment Adviser Representative	Approved	06/26/2020
B	Colorado	Agent	Approved	06/26/2020
B	Idaho	Agent	Approved	07/27/2022
B	Nevada	Agent	Approved	06/26/2020
B	New York	Agent	Approved	06/26/2020
B	North Dakota	Agent	Approved	02/03/2025
B	Oklahoma	Agent	Approved	01/14/2026
B	Oregon	Agent	Approved	06/29/2020



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	06/26/2020
B Texas	Agent	Approved	06/26/2020
IA Texas	Investment Adviser Representative	Restricted Approval	06/26/2020
B Utah	Agent	Approved	03/08/2021
B Virginia	Agent	Approved	06/26/2020
B Washington	Agent	Approved	06/30/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
2111 Palomar Airport Rd
Ste 340
Carlsbad, CA 92011-1455

AMERIPRISE FINANCIAL SERVICES, LLC
Gilbert, AZ



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
	General Securities Principal Examination (S24)	Series 24	10/30/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/28/1993
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/27/1990

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	05/04/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/1991

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	03/18/2011 - 06/29/2020	MORGAN STANLEY	CRD# 149777	IRVINE, CA
B	03/17/2011 - 06/29/2020	MORGAN STANLEY	CRD# 149777	IRVINE, CA
IA	07/14/2009 - 03/22/2011	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	NEWPORT BEACH, CA
B	07/13/2009 - 03/22/2011	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	NEWPORT BEACH, CA
B	10/31/2005 - 07/15/2009	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CARLSBAD, CA
IA	10/31/2005 - 07/15/2009	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CARLSBAD, CA
IA	07/28/2005 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	CARLSBAD, CA
B	07/08/2005 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
IA	08/01/2003 - 07/11/2005	FIRST WALL STREET CORP.	CRD# 13024	LA JOLLA, CA
B	07/01/2003 - 07/11/2005	FIRST WALL STREET CORP.	CRD# 13024	LA JOLLA, CA
B	01/01/1999 - 06/19/2003	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	03/17/1997 - 01/01/1999	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	07/27/1994 - 02/07/1997	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, CA
B	09/23/1993 - 08/19/1994	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	08/28/1992 - 12/22/1993	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA
B	06/05/1992 - 08/11/1992	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ



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	01/04/1991 - 06/13/1992	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, 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
06/2020 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Laguna Niguel, CA, United States
01/2015 - 06/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
03/2011 - 06/2020	MORGAN STANLEY SMITH BARNEY	FINANCIAL ADVISOR	Y	LAGUNA NIGUEL, CA, 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.

Independent Insurance Brokering; Allianz; 07/01/2020; Fixed Annuity. Business Ownership; MijoCA2AZ; Owner; Manage Ameriprise Business; 3164 E Tonto Dr, , Gilbert, AZ, 85298; Not Investment-Related; 07/01/2025; 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	1
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 1

Reporting Source: Firm

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

Allegations: ALLEGATIONS OF BREACH OF FIDUCIARY DUTY RELATED TO PURCHASE OF INVESTMENT PRODUCTS INCLUDING EQUITIES, MUTUAL FUNDS, REITS AND ANNUITIES.

Product Type: Annuity-Variable
Equity Listed (Common & Preferred Stock)
Mutual Fund
Real Estate Security

Alleged Damages: \$550,000.00

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: SUPREME COURT OF NEW YORK

Docket/Case #: 161431/2018

Filing date of arbitration/CFTC reparation or civil litigation: 12/06/2018



Customer Complaint Information

Date Complaint Received: 12/24/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement This matter was originally filed by Claimant before FINRA (Case No. 17-00944) on April 18, 2017. Respondent SagePoint Financial, Inc. ("SagePoint") subsequently filed an eligibility motion pursuant to 12206(a), which was granted by the Panel. Therefore, the matter was dismissed. Claimant then re-filed a virtually identical Complaint against SagePoint in New York Supreme Court.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC., et al

Allegations: Fraud/Unsuitability, Breach of Fiduciary Duty, Breach of Contract, Negligence, Deceptive Trade Practices

Product Type: Other: Not Specified

Alleged Damages: \$700,000.00

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 #: 17-00944

Filing date of arbitration/CFTC reparation or civil litigation: 04/12/2017

Customer Complaint Information

Date Complaint Received: 04/18/2017

Complaint Pending? No

Status: Settled

Status Date: 11/16/2018

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC., et al

Allegations: Fraud/Unsuitability, Breach of Fiduciary Duty, Breach of Contract, Negligence, Deceptive Trade Practices

Product Type: Annuity-Variable
Equity Listed (Common & Preferred Stock)
Other: Not Specified

Alleged Damages: \$700,000.00

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 #: 17-00944

Filing date of arbitration/CFTC reparation or civil litigation: 04/12/2017

Customer Complaint Information

Date Complaint Received: 04/18/2017

Complaint Pending? No

Status: Settled

Status Date: 11/16/2018

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00



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: GREAT WESTERN FINANCIAL SERVICES
Termination Type: Voluntary Resignation
Termination Date: 01/18/1997
Allegations: FAILURE TO FOLLOW COPANY POLICY IN REGARD TO CHANGE OF INVESTMENTS.
Product Type: Mutual Fund(s)

Other Product Types:

Broker Statement ON 1/21/1997 GWFS MADE THEIR ALLEGATIONS AND STARTED AN INVESTIGATION. THE CLIENT FILES HAD ALL THE NECESSARY PAPERWORK INCLUDING THE COI FORM. I DID NOT LIKE THE WAY I WAS BEING TREATED. I VOLUNTARILY RESIGNED ON 1/28/97, I STATED WORKING FOR GRIFFIN FINANCIAL. GWFS PRESENTED 4 CLIENT CASES TO THE NASD FOUND NO VIOLATIONS. THE MATTER WAS CLOSED.



End of Report

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