



IAPD Report

ROBERT JOHN BACINO

CRD# 2211290

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10

i 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

ROBERT JOHN BACINO (CRD# 2211290)

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 **04/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/09/2020
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/09/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **40** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Bridgewater, NJ	05/02/2016 - 03/27/2020
IA	INSIGHT PRIVATE ADVISORS, LLC	169017	BRIDGEWATER, NJ	01/07/2014 - 03/09/2020
B	LPL FINANCIAL LLC	6413	BRIDGEWATER, NJ	05/13/2004 - 05/02/2016

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



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 **40** 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	03/09/2020
B	FINRA	General Securities Representative	Approved	03/09/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	03/09/2020
B	FINRA	Municipal Securities Principal	Approved	03/09/2020
B	FINRA	Municipal Securities Representative	Approved	03/09/2020
B	FINRA	Operations Professional	Approved	03/09/2020
B	FINRA	Registered Options Principal	Approved	03/09/2020
B	Alabama	Agent	Approved	03/02/2026
B	Arizona	Agent	Approved	03/17/2020
B	Arkansas	Agent	Approved	03/12/2020
B	California	Agent	Approved	03/09/2020
B	Colorado	Agent	Approved	03/09/2020
B	Connecticut	Agent	Approved	03/10/2020



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	03/12/2020
B District of Columbia	Agent	Approved	03/02/2021
B Florida	Agent	Approved	03/09/2020
B Georgia	Agent	Approved	03/16/2020
B Idaho	Agent	Approved	03/03/2026
B Illinois	Agent	Approved	02/26/2026
B Indiana	Agent	Approved	03/03/2026
B Iowa	Agent	Approved	04/24/2026
B Kansas	Agent	Approved	05/14/2020
B Louisiana	Agent	Approved	03/12/2020
B Maine	Agent	Approved	03/03/2026
B Maryland	Agent	Approved	03/11/2020
B Massachusetts	Agent	Approved	03/09/2020
B Michigan	Agent	Approved	04/01/2020
B Minnesota	Agent	Approved	07/28/2022
B Missouri	Agent	Approved	03/10/2020
B Nevada	Agent	Approved	08/02/2022
B New Hampshire	Agent	Approved	03/03/2026
B New Jersey	Agent	Approved	03/09/2020



Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	03/09/2020
B New York	Agent	Approved	03/09/2020
B North Carolina	Agent	Approved	03/09/2020
B Ohio	Agent	Approved	03/10/2020
B Oregon	Agent	Approved	04/28/2020
B Pennsylvania	Agent	Approved	03/09/2020
B Rhode Island	Agent	Approved	03/03/2026
B South Carolina	Agent	Approved	03/09/2020
B South Dakota	Agent	Approved	03/16/2020
B Tennessee	Agent	Approved	03/25/2020
B Texas	Agent	Approved	03/09/2020
IA Texas	Investment Adviser Representative	Approved	03/09/2020
B Utah	Agent	Approved	05/13/2020
B Vermont	Agent	Approved	11/15/2024
B Virginia	Agent	Approved	03/30/2020
B Washington	Agent	Approved	03/09/2020
B Wisconsin	Agent	Approved	03/24/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC



Qualifications

1420 US Highway 206
Ste 130
Bedminster, NJ 07921-2642

AMERIPRISE FINANCIAL SERVICES, LLC
Flemington, 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 3 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	07/30/2013
 Municipal Securities Principal Examination (S53)	Series 53	08/08/2005
 General Securities Principal Examination (S24)	Series 24	06/07/2004

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	08/25/2003
 General Securities Representative Examination (S7)	Series 7	01/06/1997
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/17/1992

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	07/30/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/21/1992



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	05/02/2016 - 03/27/2020	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Bridgewater, NJ
IA	01/07/2014 - 03/09/2020	INSIGHT PRIVATE ADVISORS, LLC	CRD# 169017	BRIDGEWATER, NJ
B	05/13/2004 - 05/02/2016	LPL FINANCIAL LLC	CRD# 6413	BRIDGEWATER, NJ
IA	05/13/2004 - 10/28/2015	LPL FINANCIAL LLC	CRD# 6413	BRIDGEWATER, NJ
IA	10/14/2009 - 12/12/2014	PREMIER COLLEGE FUNDING	CRD# 151342	FLEMINGTON, NJ
IA	07/24/2003 - 05/17/2004	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	EDISON, NJ
B	06/13/2001 - 05/17/2004	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	03/19/1992 - 06/11/2001	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI
B	03/19/1992 - 06/11/2001	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

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
03/2020 - 03/2020	AMERIPRISE FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Y	Bedminster, NJ, United States
05/2016 - 03/2020	Purshe Kaplan Sterling Investments	Registered Rep	Y	Albany, NY, United States
08/2013 - 03/2020	INSIGHT PRIVATE ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	FLEMINGTON, 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.

Board of Directors; St. Magdalen's Church; Finance Council Member; Mine Street, , Flemington, NJ, 8822; Not Investment-Related; 01/01/2009; 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
Regulatory Event	1

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:	Individual
Regulatory Action Initiated By:	NEW JERSEY DEPT. OF BANKING AND INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	04/19/2001
Docket/Case Number:	9142130
Employing firm when activity occurred which led to the regulatory action:	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
Product Type:	Insurance
Other Product Type(s):	
Allegations:	DURING THE PERIOD OF FEBRUARY, 1998 TO SEPTEMBER, 1999, ROBERT J. BACINO SENT LETTERS TO RESIDENTS OF NEW JERSEY ADVERTISING LIFE INSURANCE WHICH FAILED TO IDENTIFY THE FORM NUMBER OF THE POLICY ADVERTISED AND DID NOT DESCRIBE THE NATURE OF THE RELATIONSHIP BETWEEN THE INSURER AND ROBERT J. BACINO.
Current Status:	Final
Resolution:	Order
Resolution Date:	04/19/2001
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	CEASE AND DESIST FROM ENGAGING IN THE CONDUCT THAT GAVE RISE TO THE CONSENT ORDER.



Sanction Details:

FINE OF \$1000.00 PAID TO THE STATE OF NEW JERSEY DEPARTMENT OF BANKING AND INSURANCE ON APRIL 19, 2001.



End of Report

This page is intentionally left blank.