



IAPD Report

SCOTT STEVEN SOSNA

CRD# 2276301

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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

SCOTT STEVEN SOSNA (CRD# 2276301)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/29/1997
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/30/2002

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	07/29/1997 - 07/03/2006
B	DUNWOODY BROKERAGE SERVICES, INC.	31183	ATLANTA, GA	02/27/1997 - 05/08/1997
B	THE BOSTON GROUP	37652	LOS ANGELES, CA	12/12/1995 - 02/18/1997

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	2



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 **27** 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	07/29/1997
B	FINRA	General Securities Representative	Approved	07/29/1997
B	Arizona	Agent	Approved	11/14/2018
B	California	Agent	Approved	03/28/2000
B	Colorado	Agent	Approved	06/18/2002
B	Delaware	Agent	Approved	07/02/2019
B	District of Columbia	Agent	Approved	04/03/2015
B	Florida	Agent	Approved	09/20/2002
IA	Florida	Investment Adviser Representative	Approved	09/30/2024
B	Georgia	Agent	Approved	01/30/2017
B	Illinois	Agent	Approved	08/14/2024
B	Kansas	Agent	Approved	08/19/2024
B	Maryland	Agent	Approved	01/13/2012



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	11/27/2006
B	Michigan	Agent	Approved	01/13/2012
B	Mississippi	Agent	Approved	12/13/2024
B	New Jersey	Agent	Approved	08/14/1997
IA	New Jersey	Investment Adviser Representative	Approved	07/30/2002
B	New York	Agent	Approved	07/03/1998
B	North Carolina	Agent	Approved	05/13/2004
B	Ohio	Agent	Approved	01/18/2023
B	Pennsylvania	Agent	Approved	06/02/1999
B	South Carolina	Agent	Approved	02/28/2019
B	Tennessee	Agent	Approved	01/04/2012
B	Texas	Agent	Approved	04/22/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	04/18/2019
B	Utah	Agent	Approved	04/13/2021
B	Vermont	Agent	Approved	08/05/2019
B	Virginia	Agent	Approved	10/02/2012
B	Washington	Agent	Approved	10/10/2011
B	Wisconsin	Agent	Approved	02/08/2021



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	08/23/2006

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
80 RT 4 EAST
STE 140
PARAMUS, NJ 07652-2620

AMERIPRISE FINANCIAL SERVICES, LLC
Parkland, FL




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, 2 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/19/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/10/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/22/1992

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	07/29/1997 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	02/27/1997 - 05/08/1997	DUNWOODY BROKERAGE SERVICES, INC.	CRD# 31183	ATLANTA, GA
B	12/12/1995 - 02/18/1997	THE BOSTON GROUP	CRD# 37652	LOS ANGELES, CA
B	11/02/1994 - 11/22/1995	A.S. GOLDMEN & CO., INC.	CRD# 23180	RED BANK, NJ
B	06/03/1994 - 11/30/1994	COMMONWEALTH ASSOCIATES	CRD# 20833	NEW YORK, NY
B	09/30/1992 - 06/17/1994	D. H. BLAIR & CO., INC.	CRD# 6833	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	Paramus, NJ, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Paramus, 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.

Independent Insurance Brokering; Blue cross blue shield; 02/01/2004; . Business Ownership; S&F group; None at this time; Real estate property and development; N/A, , N/A, NJ, 07481; Investment-Related; 11/15/2013; 1 to 9 hours per month; 0 during trading hours / SSFS Group LLC; Owner; The business entity is used for paying staff and personal business expenses for the purpose of doing Ameriprise business; 80 Route 4 East, , Paramus, NJ, 07652; Not Investment-Related; 11/02/2011; 1 to 9 hours per month; 0 during trading hours / DSFS Group; Co-owner; Investment into existing companies; 3350 NW 2nd Ave, , Boca Raton, FL, 33431; Not Investment-Related; 05/15/2024; 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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT, WHO IS ALSO THE ADVISOR'S WIFE, ALLEGED CHECKS WHICH REQUIRED TWO SIGNATURES OR HER SIGNATURE ALONE WERE SIGNED WITHOUT HER KNOWLEDGE IN SEPTEMBER/OCTOBER 2003 AND MAY 2004. THE CHECKS WERE DEPOSITED IN THE JOINT MONEY MARKET ACCOUNT WHICH WERE THEN SUBSEQUENTLY WITHDRAWN FROM THE ACCOUNT WITHOUT AUTHORIZATION.
Product Type:	Other
Other Product Type(s):	AXP CASH MANAGEMENT FUND
Alleged Damages:	\$11,087.12

Customer Complaint Information

Date Complaint Received:	04/19/2005
Complaint Pending?	No
Status:	Denied
Status Date:	06/16/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE ACCOUNT WAS IN JOINT REGISTRATION IN WHICH BOTH CLIENTS HAD



EQUAL ACCESS. FIRM FOUND THAT THE ADDRESS ASSOCIATED WITH THE ACCOUNT FROM THE DATE IT WAS OPENED THROUGH MID-DECEMBER 2004 WAS THE CLIENT'S ADDRESS OF RECORD. THIS INDICATED ALL CONFIRMATIONS AND STATEMENTS WERE SENT TO THAT ADDRESS. THE CHECKS IN QUESTION WERE DEPOSITED WITHIN THE TIME FRAME THE ADDRESS ON THE ACCOUNT WAS THE CLIENT'S CURRENT ADDRESS. IN JANUARY OF 2005 A REQUEST FOR DUPLICATE STATEMENTS WAS COMPLETED. LASTLY, THE ADVISOR STATED HE DID NOT SIGN THE CHECKS.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: D.H. BLAIR & CO., INC.

Allegations: SUITABILITY; UNAUTHORIZED TRADING; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$28,763.65

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-01485

Date Notice/Process Served: 04/21/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/26/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; TREBLE DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER NON-MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: D.H. BLAIR & CO., INC.

Allegations: SUITABILITY, UNAUTHORIZED TRADING, MISREPRESENTATION. ALLEGED DAMAGES WERE \$28,763.

Product Type:

Alleged Damages: \$28,763.65



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-01485

Date Notice/Process Served: 04/21/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/26/1996

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$5,000.00

Firm Statement TOTAL PAYMENT TO [CUSTOMER] OF \$15,000. NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. BLAIR & CO., INC.

Allegations: SUITABILITY UNAUTHORIZED TRADING, MISREPRESENTATION \$28,763.65

Product Type:

Alleged Damages: \$28,763.65

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-01485
Date Notice/Process Served:	04/21/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/26/1996
Monetary Compensation Amount:	\$15,000.00
Individual Contribution Amount:	\$5,000.00
Broker Statement	<p>I PAID \$5000. SETTLED 4/30/96 ON OR ABOUT JANUARY 1993, [CUSTOMER] CALLED AND REQUESTED THAT I OPEN AN ACCOUNT FOR HER AT D.H. BLAIR & CO. THAT SHE WAS A FRIEND OF [THIRD PARTY], A CLIENT OF MINE AT THAT TIME. I TOOK DOWN ALL OF THE INFORMATION FOR THE NEW ACCOUNT AND FOUND HER TO BE A SUITABLE INVESTOR, BASED ON 20 YRS. EXPERIENCE IN THE MARKET AND ONE MILLION DOLLARDS IN THE MARKET. THE FIRST ORDER WAS UNSOLICITED WHICH WAS 2,000 SHARES OF ANMR, SMALL CAP COMPANY. AFTER THAT TRANSACTION, WE SPOKE ON SEVERAL OCCASIONS WHERE I WOULD MAKE RECOMMENDATIONS. SOMETIMES WE WOULD PROCEED WITH A TRANSACTION AND OTHER TIMES SHE WOULD PASS. WE NEVER PURCHASED WITHOUT APPROVAL. I HAVE NEVER GUARANTEED THE OUTCOME OF AN INVESTMENT OF HER SUCCESS IN HER INVESTMENTS. I ALWAYS HANDLED HER ACCOUNT IN A COMPLIANT AND PROFESSIONAL MANNER.</p>



End of Report

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