



IAPD Report

Robert L Nagy

CRD# 2492917

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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

Robert L Nagy (CRD# 2492917)

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	11/03/2023
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/03/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	COMERICA SECURITIES	17079	LOS ANGELES, CA	04/03/2015 - 11/03/2023
IA	COMERICA SECURITIES	17079	LOS ANGELES, CA	04/01/2015 - 11/03/2023
IA	WELLS FARGO ADVISORS, LLC	19616	STUART, FL	01/10/2013 - 04/05/2013

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
Criminal	2
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 **10** 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	11/03/2023
B	Arizona	Agent	Approved	07/22/2025
B	California	Agent	Approved	11/03/2023
IA	California	Investment Adviser Representative	Approved	11/03/2023
B	Delaware	Agent	Approved	03/18/2025
B	Florida	Agent	Approved	04/07/2026
B	Georgia	Agent	Approved	11/03/2023
B	Michigan	Agent	Approved	04/27/2026
B	New Mexico	Agent	Approved	08/01/2025
B	New York	Agent	Approved	11/03/2023
B	Oregon	Agent	Approved	11/03/2023
B	Wisconsin	Agent	Approved	03/06/2025

Branch Office Locations



Qualifications

AMERIPRISE FINANCIAL SERVICES, LLC
2029 Cenury Park E Ste 800
Los Angeles, CA 90067

AMERIPRISE FINANCIAL SERVICES, LLC
Los Angeles, CA



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




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	07/13/1994
 General Securities Representative Examination (S7)	Series 7	06/16/1994

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/09/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/06/1994

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
B	04/03/2015 - 11/03/2023	COMERICA SECURITIES	CRD# 17079	LOS ANGELES, CA
IA	04/01/2015 - 11/03/2023	COMERICA SECURITIES	CRD# 17079	LOS ANGELES, CA
IA	01/10/2013 - 04/05/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	STUART, FL
B	01/04/2013 - 04/05/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	STUART, FL
B	10/23/2009 - 01/08/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	STUART, FL
IA	10/23/2009 - 01/08/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	STUART, FL
B	04/01/1998 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	STUART, FL
IA	04/01/1998 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	STUART, FL
B	12/04/1996 - 04/01/1998	BARNETT INVESTMENTS, INC.	CRD# 14897	JACKSONVILLE, FL
B	06/24/1996 - 10/29/1996	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	08/16/1995 - 01/15/1996	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	06/17/1994 - 03/29/1995	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
11/2023 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep.	Y	Los Angeles, CA, United States
03/2015 - 11/2023	COMERICA SECURITIES, INC.	FINANCIAL CONSULTANT	Y	LOS ANGELES, CA, United States



Registration & Employment History

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.

Independent Insurance Brokering; John Hancock; 10/15/2021; Universal Life, Whole Life / Lincoln; 10/15/2021; Universal Life, Whole Life. Outside Employment; Comerica bank; I am employed by Comerica Bank; Comerica Bank; 2029 Century park East, Ste. 800, Los Angeles, CA, 90067; Investment-Related; 03/23/2015; 20 to 39 hours per month; 10 to 19 during trading hours. Other Business Activities; Maestro Money Market System; Maestro is the money market trading system for multiple money market sweep accounts and ICS cash management which is an FDIC account. We use this account for high net worth clients with big cash positions at Comerica. These accounts are not associated with Ameriprise.; 2029 Century Park E, Ste. 800, Los Angeles, CA, 90067; Investment-Related; 10/02/2023; 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
Criminal	2
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source: Individual

If charge(s) were brought against an organization over which individual exercised control:

Organization Name:

Investment Related Business: No

Position:

Formal Charges were brought in: State Court

Name of Court: MARTIN COUNTY COURT

Location of Court: STUART, FL

Docket/Case #: 2013-CF-1459

Charge Date: 07/23/2013

Charge(s) 1 of 1

Formal Charge(s)/Description: POSSESSION OF A CONTROLLED SUBSTANCE

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: NO CONTEST

Disposition of charge: Dismissed

Current Status: Final



Status Date: 12/11/2014

Disposition Date: 12/11/2014

Sentence/Penalty: FIRST-TIME OFFENDER PROGRAM (MARTIN COUNTY DRUG COURT PROGRAM) 10/30/2013 TO 12/11/2014
FINAL DISPOSITION: ALL CHARGES DISMISSED AND "NO-CONTEST" PLEA WITHDRAWN

Broker Statement FINAL DISPOSITION: ALL CHARGES HAVE BEEN DISMISSED AND "NO-CONTEST" PLEA WITHDRAWN.
THESE "DISMISSED" CHARGES ARE IN THE PROCESS OF BEING EXPUNGED FROM MY PERMANENT RECORD AND I WILL UPDATE THIS DRP FORM WHEN EXPUNGEMENT IS FINAL.

Disclosure 2 of 2

Reporting Source: Individual

Court Details: SOUTH BELMAR MUNICIPAL COURT IN NEW JERSEY
NA

Charge Date: 06/11/1991

Charge Details: I WAS FALSELY ACCUSED OF TAKING A SMALL PACKAGE OF CHEWING GUM FROM A CONVENIENCE STORE.

Felony?

Current Status: Final

Status Date: 11/26/1991

Disposition Details: I WAS FOUND NOT GUILTY BY A MONMOUTH COUNTY, NEW JERSEY JUDGE. THIS WAS A MISDEMEANOR.

Broker Statement WHAT HAPPENED WAS AN OBVIOUS MISTAKE BY THE ACCUSER (MANAGER OF STORE). THIS PERSON HAD THOUGHT I WAS STEALING A PACKAGE OF CHEWING GUM WHEN I WAS CLEARLY GOING TO PAY FOR IT. I PLEAD NOT GUILTY AND LATER WAS FOUND NOT GUILTY BY A JUDGE.



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:	Comerica Securities, Inc.
Allegations:	Client alleges that the Municipal Securities mutual fund that he purchased was not suitable for him based on his risk tolerance. Purchase date August 2019; resolution date July 2020.
Product Type:	Mutual Fund
Alleged Damages:	\$15,153.91
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/23/2020
Complaint Pending?	No
Status:	Settled
Status Date:	07/17/2020
Settlement Amount:	\$7,051.08
Individual Contribution Amount:	\$0.00
Broker Statement	The Firm reviewed the client's allegations and found them to be without merit. Notwithstanding, the Firm elected to settle with the client as solely a business consideration.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA INVESTMENT SERVICES, INC.
Allegations:	THROUGH HER ATTORNEY, [CUSTOMER] ALLEGES MR. NAGY (AND OTHER FINANCIAL ADVISORS WHO SERVICED HER ACCOUNT) RECOMMENDED AND PURCHASED UNSUITABLE STOCKS AND MUTUAL FUNDS AND UTILIZED EXCESSIVE LEVELS OF MARGIN.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$151,000.00



Customer Complaint Information

Date Complaint Received: 04/24/2003

Complaint Pending? No

Status: Withdrawn

Status Date: 09/18/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLIENT SUBSEQUENTLY DETERMINED AND ACKNOWLEDGED THAT THE ALLEGATIONS CONTAINED IN HER APRIL 23, 2003 DEMAND LETTER DID NOT INVOLVE ROBERT NAGY, AND THEREFORE WITHDREW HER CLAIM AGAINST HIM.



End of Report

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