



IAPD Report

GREGORY SAMUEL MANTO

CRD# 2724748

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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

GREGORY SAMUEL MANTO (CRD# 2724748)

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 **02/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/10/2018
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/13/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	AXA ADVISORS, LLC	6627	WOODBURY, NY	02/20/2004 - 08/16/2018
B	AXA ADVISORS, LLC	6627	WOODBURY, NY	02/13/2002 - 08/16/2018
B	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY	06/14/1996 - 01/15/2002

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



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 **51** 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	08/13/2018
B	FINRA	General Securities Principal	Approved	08/22/2018
B	Alabama	Agent	Approved	04/26/2022
B	Alaska	Agent	Approved	05/03/2022
B	Arizona	Agent	Approved	12/20/2018
B	Arkansas	Agent	Approved	11/15/2021
B	California	Agent	Approved	08/13/2018
B	Colorado	Agent	Approved	04/01/2019
B	Connecticut	Agent	Approved	08/13/2018
IA	Connecticut	Investment Adviser Representative	Approved	08/22/2018
B	Delaware	Agent	Approved	08/23/2018
B	District of Columbia	Agent	Approved	08/14/2018
B	Florida	Agent	Approved	08/13/2018



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	08/16/2018
B Hawaii	Agent	Approved	09/22/2022
B Idaho	Agent	Approved	10/24/2023
B Illinois	Agent	Approved	08/13/2018
B Indiana	Agent	Approved	01/29/2021
B Iowa	Agent	Approved	05/02/2022
B Kansas	Agent	Approved	05/07/2019
B Kentucky	Agent	Approved	04/01/2020
B Louisiana	Agent	Approved	04/27/2022
B Maine	Agent	Approved	06/28/2019
B Maryland	Agent	Approved	12/17/2018
B Massachusetts	Agent	Approved	11/06/2018
B Michigan	Agent	Approved	10/25/2018
B Minnesota	Agent	Approved	11/27/2019
B Mississippi	Agent	Approved	04/28/2022
B Missouri	Agent	Approved	09/24/2018
B Montana	Agent	Approved	07/07/2023
B Nebraska	Agent	Approved	07/15/2020
B Nevada	Agent	Approved	08/13/2018



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	11/14/2019
B New Jersey	Agent	Approved	08/13/2018
IA New Jersey	Investment Adviser Representative	Approved	08/22/2018
B New Mexico	Agent	Approved	09/14/2023
B New York	Agent	Approved	08/13/2018
IA New York	Investment Adviser Representative	Approved	04/16/2021
B North Carolina	Agent	Approved	08/13/2018
B North Dakota	Agent	Approved	05/02/2022
B Ohio	Agent	Approved	10/18/2018
B Oklahoma	Agent	Approved	04/26/2022
B Oregon	Agent	Approved	08/13/2018
B Pennsylvania	Agent	Approved	08/13/2018
B Puerto Rico	Agent	Approved	04/29/2022
B Rhode Island	Agent	Approved	12/19/2018
B South Carolina	Agent	Approved	02/28/2019
B Tennessee	Agent	Approved	07/21/2021
B Texas	Agent	Approved	08/13/2018
IA Texas	Investment Adviser Representative	Restricted Approval	08/10/2018



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	04/26/2022
B Vermont	Agent	Approved	12/07/2018
B Virgin Islands	Agent	Approved	05/09/2022
B Virginia	Agent	Approved	11/26/2019
B Washington	Agent	Approved	05/09/2019
B Wisconsin	Agent	Approved	03/30/2020
IA Wisconsin	Investment Adviser Representative	Approved	03/30/2020
B Wyoming	Agent	Approved	04/26/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
777 Third Avenue
20th Floor
New York, NY 10017-1401

AMERIPRISE FINANCIAL SERVICES, LLC
New York, NY




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 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/19/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/13/1996

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/25/1996

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	02/20/2004 - 08/16/2018	AXA ADVISORS, LLC	CRD# 6627	WOODBURY, NY
B	02/13/2002 - 08/16/2018	AXA ADVISORS, LLC	CRD# 6627	WOODBURY, NY
B	06/14/1996 - 01/15/2002	JOSEPH STEVENS & COMPANY, INC.	CRD# 35459	BROOKLYN, 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	New York, NY, United States
08/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REPRESENTATIVE	Y	New York, NY, United States
01/2002 - 08/2018	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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; The Manto District, LLC; the main purpose is to hold the lease and also pay staff; it does not create earnings and is used for expenses and staff payroll; 767 3rd ave, ny ny 10017, ,; Not Investment-Related; 08/10/2018; 0 hours per month; 0 during trading hours / mbssm, llc; Owner; Manage Ameriprise Business; 767 Third Avenue, 38th Floor, New York, NY, 10017; Not Investment-Related; 08/01/2023; 1 to 9 hours per month; 0 during trading hours / vfpgsm, llc; Co-owner; Tax Preparation; 604 federal road, , brookfield, CT, 06804; Not Investment-Related; 12/31/2025; 1 to 9 hours per month; 0 during trading hours / taxedge, llc; Co-owner; Tax Preparation; 604 federal road, , brookfield, CT, 06804; Not Investment-Related; 12/31/2025; 1 to 9 hours per month; 0 during trading hours. Board of Directors; academy for teachers; member; 178 Columbus Avenue , , new york, NY, 10023; Not Investment-Related; 12/29/2025; 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	4

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: AXA ADVISORS, LLC

Allegations: CLIENT STATES THAT BASED ON THE RECOMMENDATIONS OF THEIR AGENT, THEY SURRENDERED 7 WHOLE LIFE POLICIES AND USED THE CASH SURRENDER VALUE TO PURCHASE A NEW VARIABLE LIFE INSURANCE POLICY. CLIENT STATES THAT THEY LATER QUESTIONED THE NEED FOR SUCH A LARGE POLICY AND WHETHER IT WAS IN THEIR BEST INTEREST. THE CLIENT REQUESTED THAT THE FACE AMOUNT BE REDUCED. DAMAGES UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.

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: 05/18/2012

Complaint Pending? No



Status: Closed/No Action
Status Date: 04/29/2013
Settlement Amount:
Individual Contribution Amount:
Broker Statement THE CLIENT DID NOT ACCEPT THE SETTLEMENT OFFER, THEREFORE THE FIRM CLOSED THE FILE ON THIS MATTER.

Disclosure 2 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AXA ADVISORS
Allegations: CLIENT ALLEGES THAT THE TERMS AND CONDITIONS OF HER 2010 VARIABLE LIFE INSURANCE POLICY WERE NOT EXPLAINED TO HER. CLIENT IS REQUESTING THE FIRM TO EITHER CONVERT THIS MONEY TO ANOTHER INVESTMENT OR CANCEL IT. DAMAGES UNSPECIFIED.
Product Type: Insurance
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.
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: 01/14/2011
Complaint Pending? No
Status: Settled
Status Date: 08/29/2011
Settlement Amount: \$106,754.43
Individual Contribution Amount: \$0.00
Broker Statement THE FIRM FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.*BASED ON APPEAL RECEIVED 8/5/2011, THE FIRM AGREED TO CANCEL THE 2010 VARIABLE LIFE INSURANCE POLICY AS IF IT HAD NEVER BEEN ISSUED AND REFUND TOTAL PREMIUMS PAID. IN ADDITION, THE FIRM ALLOWED THE CLIENT WHO IS ALSO MY PARTNERS SISTER TO SURRENDER HER ANNUITY WITHOUT THE IMPOSITION OF A SURRENDER CHARGE. MY ERRORS AND OMISSIONS CARRIER DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 3 of 4



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA ADVISORS

Allegations: CLIENTS ALLEGE THEY WERE NEVER INFORMED OF THE FEES INVOLVED IN THE SALE OF A 2006 VARIABLE LIFE INSURANCE POLICY. CLIENTS ALLEGE THEY WANTED TO INCREASE COVERAGE WITH TERM LIFE INSURANCE BUT THE AGENTS INFORMED THEM THAT WHOLE LIFE INSURANCE WAS PRICED THE SAME AND THEREFORE SUPERIOR. DAMAGES ARE UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/26/2008

Complaint Pending? No

Status: Settled

Status Date: 01/09/2009

Settlement Amount: \$13,620.00

Individual Contribution Amount: \$0.00

Broker Statement

THE FIRM HAS FOUND NO BASIS FOR THIS CUSTOMER COMPLAINT. IN CONNECTION WITH THE APPEAL RECEIVED 11/5/08, THE FIRM'S REVIEW OF INFORMATION DETERMINED THAT PROPER PRODUCT DISCLOSURE WAS PROVIDED TO THE CUSTOMERS INCLUDING BUT NOT LIMITED TO THE BENEFITS OF EACH POLICY AND THE POLICY PROVISIONS, AS WELL AS THE COSTS AND CHARGES ASSOCIATED WITH EACH POLICY. HOWEVER, IN THE INTEREST OF GOOD CLIENT RELATIONS, AXA-EQUITABLE AGREED TO WAIVE ALL CHARGES NORMALLY ASSOCIATED WITH THE SURRENDER OF THE VARIABLE LIFE POLICY AND REFUND THE PREMIUMS. CUSTOMER [CUSTOMER] ACCEPTED THE OFFER, HOWEVER, CUSTOMER [CUSTOMER] DID NOT ACCEPT THE OFFER. LOSS TO FIRM REGARDING [CUSTOMER] POLICY: \$13,620.00. MATTER CLOSED ON 1/9/09.

I AM SIGNING THIS AMENDED U4, PER FINRA REGULATIONS, REGARDING ANY ALLEGED COMPLAINT AND SUBSEQUENT ACTION INVOLVING A REGISTERED REPRESENTATIVE. I AGREE WITH THE FIRM'S FINDINGS RELATED TO NO BASIS AS IT RELATES TO THE CUSTOMERS' ALLEGATIONS AND DO NOT AGREE THAT THE FIRM SHOULD HAVE RELINQUISHED ANY FUNDS TO [CUSTOMER].

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & CO. INC.

Allegations: CUSTOMER ALLEGES BROKERS WERE RESPONSIBLE FOR UNSUITABLE SPECULATIVE INVESTMENTS THAT INCURRED LOSSES



Product Type: Equity - OTC

Alleged Damages: \$232,930.00

Customer Complaint Information

Date Complaint Received: 12/16/2002

Complaint Pending? No

Status: Settled

Status Date: 10/20/2003

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$5,000.00

Firm Statement FIRM SETTLED FOR \$70,000 TO AVOID A COSTLY AND LENGTHY ARBITRATION PROCESS, MR. MANTO CONTRIBUTED 5,000 TOWARDS SETTLEMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & CO. INC.

Allegations: CUSTOMER ALLEGES BROKERS WERE RESPONSIBLE FOR UNSUITABLE SPECULATIVE INVESTMENTS THAT INCURRED LOSSES.

Product Type: Equity - OTC

Alleged Damages: \$232,930.00

Customer Complaint Information

Date Complaint Received: 12/16/2002

Complaint Pending? No

Status: Settled

Status Date: 10/20/2003

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$5,000.00

Broker Statement FIRM SETTLED FOR \$70,000.00 TO AVOID A COSTLY AND LENGTHY ARBITRATION PROCESS. I CONTRIBUTED \$5,000.00 TOWARDS THE SETTLEMENT.



End of Report

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