



IAPD Report

LISA ANN BRISLIN

CRD# 3260935

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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

LISA ANN BRISLIN (CRD# 3260935)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/31/2013
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/01/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	UBS FINANCIAL SERVICES INC.	8174	PORTLAND, ME	02/09/2007 - 10/25/2013
IA	UBS FINANCIAL SERVICES INC.	8174	PORTLAND, ME	02/09/2007 - 10/25/2013
IA	MCDONALD INVESTMENTS INC.	566	PORTLAND, ME	02/07/2007 - 02/09/2007

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 **23** 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	10/31/2013
B	FINRA	General Securities Sales Supervisor	Approved	10/31/2013
B	Arizona	Agent	Approved	01/06/2022
B	California	Agent	Approved	02/09/2017
B	Connecticut	Agent	Approved	08/06/2020
B	Delaware	Agent	Approved	08/08/2019
B	District of Columbia	Agent	Approved	01/17/2023
B	Florida	Agent	Approved	03/23/2018
B	Indiana	Agent	Approved	10/22/2019
B	Maine	Agent	Approved	10/31/2013
IA	Maine	Investment Adviser Representative	Approved	11/01/2013
B	Maryland	Agent	Approved	07/17/2019
B	Massachusetts	Agent	Approved	08/28/2019



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	05/03/2019
B Missouri	Agent	Approved	08/28/2020
B New Hampshire	Agent	Approved	03/17/2020
B New Jersey	Agent	Approved	02/15/2024
B New York	Agent	Approved	02/13/2021
B North Carolina	Agent	Approved	11/16/2021
B Ohio	Agent	Approved	11/15/2021
B Oregon	Agent	Approved	01/24/2022
B Pennsylvania	Agent	Approved	07/05/2023
B Rhode Island	Agent	Approved	01/19/2017
B South Carolina	Agent	Approved	11/08/2021
B Texas	Agent	Approved	04/29/2024
IA Texas	Investment Adviser Representative	Restricted Approval	04/29/2024
B Vermont	Agent	Approved	11/16/2021

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 10 Market Street
 Ste 305
 Scarborough, ME 04074-7683

AMERIPRISE FINANCIAL SERVICES, LLC
 Buxton, ME





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




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/01/2011
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/16/2011

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/14/2000

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/05/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/02/2000

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	02/09/2007 - 10/25/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	PORTLAND, ME
IA	02/09/2007 - 10/25/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	PORTLAND, ME
IA	02/07/2007 - 02/09/2007	MCDONALD INVESTMENTS INC.	CRD# 566	PORTLAND, ME
B	11/02/2001 - 02/09/2007	MCDONALD INVESTMENTS INC.	CRD# 566	PORTLAND, ME
B	02/06/2001 - 11/06/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	02/16/2000 - 02/12/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	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	Scarborough, ME, United States
10/2013 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Portland, ME, 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.

No information reported.



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: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 03/10/2014

Docket/Case Number: [2012034294501](#)

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, BRISLIN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT SHE PROVIDED FALSE INFORMATION ON HER MEMBER FIRM'S INTERNAL SYSTEM ON THREE OCCASIONS BY STATING THAT SHE VERBALLY CONFIRMED THE CHECK DISBURSEMENT INSTRUCTIONS WITH A CUSTOMER WHEN SHE NEVER SPOKE WITH THE CUSTOMER. THE FINDINGS STATED THAT BY DOING SO, BRISLIN CAUSED THE FIRM TO CREATE AND MAINTAIN INACCURATE BOOKS AND RECORDS. THE FINDINGS ALSO STATED THAT BRISLIN HAD EFFECTED CHECK DISBURSEMENTS TOTALING \$44,600 FROM A MEMBER FIRM CUSTOMER'S ACCOUNT TO AN UNRELATED THIRD-PARTY ACCOUNT AFTER RECEIVING FRAUDULENT EMAILS FROM SOMEONE PURPORTING TO BE THE CUSTOMER. THE FIRM'S REGISTERED REPRESENTATIVE FORWARDED BRISLIN AN EMAIL FROM WHAT APPEARED TO BE A CUSTOMER'S EMAIL ACCOUNT ON FILE. IN FACT, THE EMAIL WAS SENT BY AN IMPOSTER WHO HACKED THE CUSTOMER'S EMAIL ACCOUNT AND WAS FRAUDULENTLY TRANSFERRING MONEY TO ACCOUNTS THAT THE IMPOSTER



CONTROLLED. BRISLIN, CONTRARY TO THE FIRM'S POLICIES, FAILED TO CONFIRM THE TRANSFERS. A FINANCIAL ADVISOR CONTACTED THE CUSTOMER AND LEARNED THAT THE CUSTOMER NEVER REQUESTED ANY CHECK DISBURSEMENTS FROM THE ACCOUNT. THE FIRM RESTORED THE \$44,600 IN FUNDS THAT WERE IMPROPERLY DISBURSED FROM THE CUSTOMER'S ACCOUNT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/10/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	30 DAYS
Start Date:	04/07/2014
End Date:	05/06/2014

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:**
.....

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 03/10/2014

Docket/Case Number: [2012034294501](#)

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: FINRA RULE 2010 VIOLATION: ALLEGEDLY ATTESTED FALSELY IN HER FIRM'S SYSTEMS THAT SHE SPOKE WITH THE CUSTOMER IN CONNECTION WITH 3 CHECK DISBURSEMENTS. FINRA RULES 4511 AND 2010 VIOLATIONS: ALLEGEDLY CAUSED HER FIRM TO MAINTAIN INACCURATE BOOKS AND RECORDS CONCERNING THESE CHECK DISBURSEMENT REQUESTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/10/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: 30 DAYS

Start Date: 04/07/2014

End Date: 05/06/2014

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current:



Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



End of Report

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