



IAPD Report

DEREK STEVEN FISH

CRD# 4674722

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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

DEREK STEVEN FISH (CRD# 4674722)

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 **06/27/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/13/2013
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/13/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	UBS FINANCIAL SERVICES INC.	8174	HUNT VALLEY, MD	11/07/2003 - 09/27/2013
B	UBS FINANCIAL SERVICES INC.	8174	HUNT VALLEY, MD	10/10/2003 - 09/27/2013

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
Regulatory Event	1
Termination	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 **28** 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	09/13/2013
B	Arizona	Agent	Approved	10/16/2018
B	California	Agent	Approved	10/07/2020
B	Colorado	Agent	Approved	02/22/2022
B	Connecticut	Agent	Approved	08/21/2023
B	Delaware	Agent	Approved	09/23/2013
B	District of Columbia	Agent	Approved	09/13/2013
B	Florida	Agent	Approved	10/24/2013
B	Georgia	Agent	Approved	02/07/2022
B	Indiana	Agent	Approved	05/10/2016
B	Iowa	Agent	Approved	05/11/2021
B	Maryland	Agent	Approved	09/13/2013
IA	Maryland	Investment Adviser Representative	Approved	09/13/2013



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	07/14/2023
B	Minnesota	Agent	Approved	09/06/2019
B	New Hampshire	Agent	Approved	07/07/2023
B	New Jersey	Agent	Approved	09/13/2013
B	New York	Agent	Approved	09/13/2013
B	North Carolina	Agent	Approved	08/29/2017
B	Ohio	Agent	Approved	09/13/2013
B	Pennsylvania	Agent	Approved	09/13/2013
IA	Pennsylvania	Investment Adviser Representative	Approved	09/13/2013
B	South Carolina	Agent	Approved	04/18/2018
B	Tennessee	Agent	Approved	10/13/2020
B	Texas	Agent	Approved	07/19/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	07/20/2021
B	Utah	Agent	Approved	05/31/2016
B	Vermont	Agent	Approved	02/17/2022
B	Virginia	Agent	Approved	09/13/2013
B	Washington	Agent	Approved	06/13/2023
B	West Virginia	Agent	Approved	09/13/2013



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	08/10/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
303 International Cir Ste 490
Hunt Valley, MD 21030

AMERIPRISE FINANCIAL SERVICES, LLC
Hanover, PA



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B National Commodity Futures Examination (S3)	Series 3	11/16/2004
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B General Securities Representative Examination (S7)	Series 7	10/09/2003
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	11/06/2003
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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	11/07/2003 - 09/27/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	HUNT VALLEY, MD
B	10/10/2003 - 09/27/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	HUNT VALLEY, MD

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	Hunt Valley, MD, United States
09/2013 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Timonium, MD, 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
Termination	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: 01/05/2016

Docket/Case Number: [2013038423601](#)

Employing firm when activity occurred which led to the regulatory action: UBS Financial Services, Inc.

Product Type: Other: unspecified securities

Allegations: Without admitting or denying the findings, Fish consented to the sanctions and to the entry of findings that he circumvented and violated his member firm's gift procedures by accepting gifts of stock from a firm customer. The findings stated that Fish accepted a total of 750 shares of stock, which collectively were worth approximately \$23,000 at the time. Fish concealed his receipt of these gifts by arranging for the shares to be transferred, with the customer's consent, from the customer's account to an account at the firm in the name of Fish's father-in-law. Fish's father-in-law subsequently sold the shares for \$31,000 and gave the proceeds to Fish.

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:

01/05/2016

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: any and all capacities
Duration: three months
Start Date: 02/01/2016
End Date: 04/30/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$15,000.00
Portion Levied against individual: \$15,000.00
Payment Plan:
Is Payment Plan Current: Yes
Date Paid by individual: 02/08/2016
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fine paid in full on February 8, 2016.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 01/05/2016
Docket/Case Number: [2013038423601](#)



Employing firm when activity occurred which led to the regulatory action:	UBS Financial Services, Inc.
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Fish consented to the sanctions and to the entry of findings that he circumvented and violated his member firm's gift procedures by accepting gifts of stock from a firm customer. The findings stated that Fish accepted a total of 750 shares of stock, which collectively were worth approximately \$23,000 at the time. Fish concealed his receipt of these gifts by arranging for the shares to be transferred, with the customer's consent, from the customer's account to an account at the firm in the name of Fish's father-in-law. Fish's father-in-law subsequently sold the shares for \$31,000 and gave the proceeds to Fish.
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:	01/05/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	3 months
Start Date:	02/01/2016
End Date:	04/30/2016
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 08/29/2013

Allegations: MR. FISH'S EMPLOYMENT WAS TERMINATED AFTER A FIRM REVIEW FOUND THAT HE HAD CIRCUMVENTED THE FIRM'S POLICIES ON GIFTS AND ENTERTAINMENT WHEN HE, ON MULTIPLE OCCASIONS, INSTRUCTED A CLIENT TO GIFT SHARES OF A SECURITY TO MR. FISH'S FAMILY MEMBER RATHER THAN GIFT THE SHARES DIRECTLY TO AN ACCOUNT THAT MR. FISH CONTROLLED. IN ADDITION, MR. FISH PROVIDED INADEQUATE ANSWERS DURING THE FIRM'S REVIEW.

Product Type: No Product

Reporting Source: Individual

Firm Name: UBS FINANCIAL SERVICES INC

Termination Type: Discharged

Termination Date: 08/29/2013

Allegations: ON AUGUST 29TH 2013, I WAS TERMINATED BY UBS FOR "CIRCUMVENTING THE FIRM'S GIFTING POLICY."

Product Type: No Product

Broker Statement ON 8/29/2013, I WAS QUESTIONED BY UBS ABOUT A JANUARY 2013 CLIENT GIFT OF SHARES TO MY FATHER-IN.LAW. I WAS GIVEN PRIOR APPROVAL BY A BRANCH MANAGER FOR THE TRANSFER. CLIENT INITIATED GIFT AND CO-TRUSTEE ON THE ACCOUNT (THE CLIENT'S SON) APPROVED THE TRANSFER. ON 8/29/2013, I WAS TERMINATED FOR CIRCUMVENTING THE FIRM'S GIFTING POLICY. I NEVER CONCEALED THE GIFT AND ALL TRANSFERS WERE DOCUMENTED WITH SIGNED LOAS. CUSTOMER DID NOT COMPLAIN



End of Report

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