



IAPD Report

MIGUEL ALEXANDER RIVEROS

CRD# 4992271

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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

MIGUEL ALEXANDER RIVEROS (CRD# 4992271)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/10/2021
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/11/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **46** 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	LPL FINANCIAL LLC	6413	MAITLAND, FL	02/19/2021 - 08/11/2021
IA	MERIT FINANCIAL ADVISORS	142457	MAITLAND, FL	03/23/2021 - 05/03/2021
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	ORLANDO, FL	10/14/2005 - 04/10/2019

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



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 **46** 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	08/10/2021
B	Alabama	Agent	Approved	03/23/2023
B	Alaska	Agent	Approved	04/06/2023
B	Arizona	Agent	Approved	03/29/2023
B	Arkansas	Agent	Approved	04/12/2023
B	California	Agent	Approved	07/14/2023
B	Colorado	Agent	Approved	03/23/2023
B	Connecticut	Agent	Approved	07/17/2023
B	Delaware	Agent	Approved	07/26/2023
B	District of Columbia	Agent	Approved	03/27/2023
B	Florida	Agent	Approved	08/10/2021
IA	Florida	Investment Adviser Representative	Approved	08/11/2021
B	Georgia	Agent	Approved	03/27/2023



Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	03/23/2023
B	Illinois	Agent	Approved	08/16/2024
B	Indiana	Agent	Approved	08/14/2024
B	Iowa	Agent	Approved	08/20/2024
B	Kansas	Agent	Approved	03/23/2023
B	Kentucky	Agent	Approved	07/17/2023
B	Louisiana	Agent	Approved	03/24/2023
B	Maine	Agent	Approved	07/14/2023
B	Maryland	Agent	Approved	03/23/2023
B	Massachusetts	Agent	Approved	03/24/2023
B	Michigan	Agent	Approved	07/17/2023
B	Minnesota	Agent	Approved	03/23/2023
B	Mississippi	Agent	Approved	08/13/2024
B	Missouri	Agent	Approved	03/23/2023
B	Nebraska	Agent	Approved	03/23/2023
B	Nevada	Agent	Approved	07/19/2023
B	New Hampshire	Agent	Approved	08/16/2024
B	New Jersey	Agent	Approved	08/14/2024
B	New Mexico	Agent	Approved	07/14/2023



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	03/26/2023
B	North Carolina	Agent	Approved	03/24/2023
B	Ohio	Agent	Approved	03/23/2023
B	Oregon	Agent	Approved	03/27/2023
B	Pennsylvania	Agent	Approved	07/14/2023
B	Puerto Rico	Agent	Approved	07/17/2023
B	Rhode Island	Agent	Approved	08/14/2024
B	South Carolina	Agent	Approved	03/27/2023
B	Tennessee	Agent	Approved	08/11/2021
IA	Tennessee	Investment Adviser Representative	Approved	08/18/2021
B	Texas	Agent	Approved	03/24/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	03/23/2023
B	Utah	Agent	Approved	03/24/2023
B	Vermont	Agent	Approved	08/14/2024
B	Virginia	Agent	Approved	03/27/2023
B	Washington	Agent	Approved	03/23/2023
B	West Virginia	Agent	Approved	08/21/2024
B	Wisconsin	Agent	Approved	03/23/2023



Qualifications

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

2709 W Fairbanks Ave
Ste 100
Winter Park, FL 32789

AMERIPRISE FINANCIAL SERVICES, LLC

1309 KALMIA RD
KNOXVILLE, TN 37909

AMERIPRISE FINANCIAL SERVICES, LLC

Apopka, 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 0 principal/supervisory exams, 2 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/29/2005

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/12/2005



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	02/19/2021 - 08/11/2021	LPL FINANCIAL LLC	CRD# 6413	MAITLAND, FL
IA	03/23/2021 - 05/03/2021	MERIT FINANCIAL ADVISORS	CRD# 142457	MAITLAND, FL
IA	10/14/2005 - 04/10/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	ORLANDO, FL
B	09/30/2005 - 04/10/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	ORLANDO, FL

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
08/2021 - Present	AMERIPRISE FINANCIAL SERVICES LLC	REGISTERED REP	Y	Orlando, FL, United States
02/2021 - 08/2021	LPL Financial, LLC	ADMINISTRATIVE ASSOCIATE	Y	Maitland, FL, United States
03/2021 - 04/2021	Merit Financial Group, LLC	ADMINISTRATIVE ASSOCIATE	Y	Maitland, FL, United States
05/2019 - 01/2021	UNEMPLOYED	Stay-At-Home Dad	N	Orlando, FL, United States
07/2005 - 04/2019	AMERIPRISE FINANCIAL SERVICES	REGISTERED REP	Y	Orlando, FL, 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.

Real Estate Ownership; Condo Townhome; 300 E. South St #1013, , Orlando, FL, 32801; Not Investment-Related; 01/01/2021.



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

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

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: IN THE CIRCUIT COURT IN AND FOR ALACHUA COUNTY, FLORIDA
CASE NUMBER:99-1126-CFA

Charge Date: 04/02/1999

Charge Details: GRAND THEFT
1-1 COUNT
2-FELONY
3-NO PLEA
4-NON-INVESTMENT RELATED

Felony? Yes

Current Status: Final

Status Date: 11/23/1999

Disposition Details: A.NOLLE PROSEQUI/NO INFORMATION
B.11/23/1999
C.N/A
D.N/A
E.N/A
F.N/A
G.N/A

Broker Statement ON APRIL 2, 1999, WHILE AN UNDERGRADUATE STUDENT AT THE UNIVERSITY OF FLORIDA IN GAINESVILLE, FLORIDA, I WAS MISTAKENLY ARRESTED DURING MY PART-TIME MANAGEMENT INTERNSHIP OPPORTUNITY. THE INCIDENT INVOLVED A GROUP OF DISHONEST SALES INDIVIDUALS WITHIN THE MEN'S APPAREL DEPARTMENT THAT WERE AT



THAT TIME UNDER MY DIRECT SUPERVISION AS INTERNSHIP TRAINING MANAGER OF THE DEPARTMENT. THE GROUP OF DISHONEST SALES ASSOCIATES BEGAN STEALING MEN'S CLOTHING FROM MY DEPARTMENT AND ALSO CHARGED PERSONAL CREDIT CARDS WITH STOLEN MERCHANDISE WITHOUT MANAGEMENT APPROVAL. THE BAND OF INDIVIDUALS WERE ARRESTED AND REGRETTABLY, I WAS INCLUDED IN THE ARREST AS SUPERVISOR OF THE DEPARTMENT. SINCE THE INCIDENT, MY EXPERIENCE HAS GROWN TREMENDOUSLY WITH DIGNITY AS I AM COMPLETING MY 5-YEAR TENURE WITH THE PHILLIPS VAN-HEUSEN CORPORATION, AS ASSOCIATE STORE MANAGER OF A \$2.425 MILLION APPAREL AND FOOTWEAR RETAIL ESTABLISHMENT AT THE HIGHLY RENOWNED ORLANDO PREMIUM OUTLET MALL AT LAKE BUENA VISTA NEAR THE DISNEY RESORTS.

Disclosure 2 of 2

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: IN THE CIRCUIT COURT FOR ORANGE COUNTY, FLORIDA
CASE NUMBER:CR99-13615

Charge Date: 10/05/1999

Charge Details: GRAND THEFT 3RD DEGREE
1-1 COUNT
2-FELONY
3-NO PLEA
4-NON INVESTMENT-RELATED

Felony? Yes

Current Status: Final

Status Date: 11/10/1999

Disposition Details: A.NO INFORMATION
B.11/10/1999
C.N/A
D.N/A
E.N/A
F.N/A
G.N/A
G.

Broker Statement ON SEPTEMBER 1, 1999 DURING A FLOOR SUPERVISOR LEAD POSITION IN RETAIL, I BECAME INVOLVED WITH THE WRONG INDIVIDUALS WHO I THOUGHT AT THE TIME WERE GENUINELY INTERESTED IN ADVANCING MY CAREER BUT LATER DISCOVERED TO BE DISHONEST. THE INCIDENT INVOLVED AN EX-EMPLOYEE WHO I THOUGHT AT THE TIME STILL WORKED AT THE STORE AND THEIR CONTINUED PRESSURING TO LOAD MERCHANDISE INTO A COMPANY BAG FOR DAMAGED PROCESSING IN THE STOCK INVENTORY BACKROOM. AS EVIDENCED WITH THE NO INFORMATION NOTICE FROM THE STATE ATTORNEYS OFFICE, I WAS ABSOLVED OF ALL CHARGES, AS THERE WAS A MISUNDERSTANDING WITH THE ARRESTING AUTHORITIES REGARDING THE NATURE OF THIS INCIDENT.



End of Report

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