



## IAPD Report

# GREGORY COLIN PARSONS

CRD# 5460952

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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

### GREGORY COLIN PARSONS (CRD# 5460952)

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 **02/23/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/20/2019
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/20/2019

### 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
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, INC.	6363	HURST, TX	03/27/2013 - 11/08/2019
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, INC.	6363	HURST, TX	06/22/2010 - 11/08/2019
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, INC.	6363	HURST, TX	09/16/2010 - 03/26/2013

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	2
Criminal	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 **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>B</b>	FINRA	General Securities Representative	Approved	11/20/2019
<b>B</b>	Alabama	Agent	Approved	03/17/2023
<b>B</b>	Alaska	Agent	Approved	04/05/2023
<b>B</b>	Arizona	Agent	Approved	03/28/2023
<b>B</b>	Arkansas	Agent	Approved	11/02/2020
<b>B</b>	California	Agent	Approved	03/30/2020
<b>B</b>	Colorado	Agent	Approved	03/30/2022
<b>B</b>	Connecticut	Agent	Approved	03/17/2023
<b>B</b>	Delaware	Agent	Approved	03/23/2023
<b>B</b>	District of Columbia	Agent	Approved	03/20/2023
<b>B</b>	Florida	Agent	Approved	11/03/2020
<b>B</b>	Georgia	Agent	Approved	04/20/2022
<b>B</b>	Hawaii	Agent	Approved	04/19/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Idaho	Agent	Approved	03/20/2023
<b>B</b> Illinois	Agent	Approved	03/20/2023
<b>B</b> Indiana	Agent	Approved	04/11/2023
<b>B</b> Iowa	Agent	Approved	01/12/2022
<b>B</b> Kansas	Agent	Approved	03/17/2023
<b>B</b> Kentucky	Agent	Approved	03/23/2023
<b>B</b> Louisiana	Agent	Approved	01/28/2022
<b>B</b> Maine	Agent	Approved	03/20/2023
<b>B</b> Maryland	Agent	Approved	03/21/2023
<b>B</b> Massachusetts	Agent	Approved	04/25/2022
<b>B</b> Michigan	Agent	Approved	03/21/2023
<b>B</b> Minnesota	Agent	Approved	03/20/2023
<b>B</b> Mississippi	Agent	Approved	03/21/2023
<b>B</b> Missouri	Agent	Approved	03/21/2023
<b>B</b> Montana	Agent	Approved	03/23/2023
<b>B</b> Nebraska	Agent	Approved	03/22/2023
<b>B</b> Nevada	Agent	Approved	03/23/2023
<b>B</b> New Hampshire	Agent	Approved	03/22/2023
<b>B</b> New Jersey	Agent	Approved	03/17/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Mexico	Agent	Approved	03/20/2023
<b>B</b> New York	Agent	Approved	03/14/2023
<b>IA</b> New York	Investment Adviser Representative	Approved	03/31/2023
<b>B</b> North Carolina	Agent	Approved	04/21/2022
<b>B</b> North Dakota	Agent	Approved	03/21/2023
<b>B</b> Ohio	Agent	Approved	03/30/2020
<b>B</b> Oklahoma	Agent	Approved	09/02/2020
<b>B</b> Oregon	Agent	Approved	03/19/2023
<b>IA</b> Pennsylvania	Investment Adviser Representative	Approved	11/20/2019
<b>B</b> Pennsylvania	Agent	Approved	03/20/2023
<b>B</b> Rhode Island	Agent	Approved	03/24/2023
<b>B</b> South Carolina	Agent	Approved	03/27/2023
<b>B</b> South Dakota	Agent	Approved	03/23/2023
<b>B</b> Tennessee	Agent	Approved	04/20/2022
<b>B</b> Texas	Agent	Approved	11/20/2019
<b>IA</b> Texas	Investment Adviser Representative	Approved	11/20/2019
<b>B</b> Utah	Agent	Approved	03/21/2023
<b>B</b> Vermont	Agent	Approved	03/20/2023
<b>B</b> Virginia	Agent	Approved	03/20/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	03/20/2023
<b>B</b> West Virginia	Agent	Approved	03/20/2023
<b>B</b> Wisconsin	Agent	Approved	04/06/2020
<b>B</b> Wyoming	Agent	Approved	03/29/2023

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
700 Highlander Blvd Ste 335  
Arlington, TX 76015-4330

**AMERIPRISE FINANCIAL SERVICES, LLC**  
1174 Veterans Memorial Hwy  
Hauppauge, NY 11788

**AMERIPRISE FINANCIAL SERVICES, LLC**  
2201 N Central Expy Ste 178  
Richardson, TX 75080

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Forney, TX



## 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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/21/2008
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	05/15/2008
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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	03/27/2013 - 11/08/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HURST, TX
B	06/22/2010 - 11/08/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HURST, TX
IA	09/16/2010 - 03/26/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HURST, TX
B	01/04/2010 - 06/11/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	MANKATO, MN
B	04/23/2008 - 10/13/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MANKATO, MN

### 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	Hauppauge, NY, United States
06/2010 - 03/2020	Ameriprise Financial Services, Inc.	Registered Representative	Y	Conshohocken, PA, 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.

Independent Insurance Brokering; National Life; 05/13/2022; Fixed Annuity / Security Benefit; 04/06/2022; / North American; 07/15/2022; . Business Ownership; Gregory C Parsons LLC; Regional Onboarding Support Team (ROST)Practice Management Consultant; Consulting; 273 Van Buren Dr, , Forney, TX, 75126; Investment-Related; 11/20/2019; 1 to 9 hours per month; 0 during trading hours / Lighting Brokers LLC; we offer name brand lighting fixtures at better than online prices, developing the business, organizing the business, hiring, operations, leadership; lighting distributor; 273 Van Buren Dr, , Forney, TX, 75126; Not Investment-Related; 03/01/2020; 10 to 19 hours per month; 0 during trading hours. Outside Employment; Certainty of the Uncertainty, LLC; employee of legal entity; compensation received from an advisor owned entity established to manage the practice; 1174 Veterans Memorial Hwy, , Hauppauge, NY, 11788; Investment-Related; 12/01/2021; 60 hours per month; 60 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
Regulatory Event	2
Criminal	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 2

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF MINNESOTA COMMISSIONER OF COMMERCE
<b>Sanction(s) Sought:</b>	Other: CONSENT ORDER
<b>Date Initiated:</b>	08/18/2008
<b>Docket/Case Number:</b>	FILE 8923 CJ; E-CASE 360
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AMERIPRISE FINANCIAL SERVICES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	THE STATE OF MINNESOTA COMMISSIONER OF COMMERCE ISSUED THE REPRESENTATIVE AN INSURANCE PRODUCER LICENSE PROVIDED THE REPRESENTATIVE AGREED AND CONSENTED TO THE TERMS OUTLINED IN THE COMMISSIONER'S CONSENT ORDER.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/18/2008



**Sanctions Ordered:** Other: THE CONSENT ORDER REQUIRED THE REPRESENTATIVE TO NOTIFY THE COMMISSIONER OF CERTAIN CRIMINAL AND FINANCIAL MATTERS FOR A PROBATIONARY PERIOD OF TWO YEARS FROM THE DATE OF THE CONSENT ORDER.

**Disclosure 2 of 2**

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** STATE OF WISCONSIN - OFFICE OF THE COMMISSIONER OF INSURANCE

**Sanction(s) Sought:** Denial

**Date Initiated:** 02/17/2012

**Docket/Case Number:** 12-C34467

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

**Product Type:** No Product

**Allegations:** THE STATE OF WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE DENIED REPRESENTATIVE'S APPLICATION FOR INSURANCE FOR 31 DAYS (02/17/2012 - 03/19/2012) FOR FAILING TO DISCLOSE ON HIS APPLICATION AN ADMINISTRATIVE ACTION TAKEN BY THE STATE OF MINNESOTA COMMISSIONER OF COMMERCE. THE STATE OF MINNESOTA ISSUED A CONSENT ORDER AGAINST THE REPRESENTATIVE DUE TO THE CRIMINAL MATTER DISCLOSED ON THE REPRESENTATIVE'S CRD.

**Current Status:** Final

**Resolution:** INSURANCE LICENSE GRANTED

**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:** 03/19/2012

**Sanctions Ordered:** Denial

**Broker Statement** THE STATE OF WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE DENIED REPRESENTATIVE'S APPLICATION FOR INSURANCE FOR 31 DAYS (02/17/2012 - 03/19/2012) FOR FAILING TO DISCLOSE ON HIS APPLICATION AN ADMINISTRATIVE ACTION TAKEN BY THE STATE OF MINNESOTA COMMISSIONER OF COMMERCE. HIS INSURANCE LICENSE WAS APPROVED ON 03/19/2012.



## 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 1

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	BLUE EARTH COUNTY COURT MANKATO, MN CASE #07-T8-02-00959
<b>Charge Date:</b>	09/30/2002
<b>Charge Details:</b>	ONE COUNT - MISDEMEANOR THEFT - NO PLEA ONE COUNT - MISDEMEANOR ISSUANCE/DISHONORED CHECK - PLEAD GUILTY
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/14/2003
<b>Disposition Details:</b>	A. CONVICTED B. 12/18/2002 C. PAY FINES & PROBATION D. ONE YEAR E. 12/18/02 F. 256.90 G. 03/14/2003



## End of Report

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