IAPD Report

DENNIS JAY PERSKY

CRD# 708583

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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

DENNIS JAY PERSKY (CRD# 708583)

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 **01/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/19/2015
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/19/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	CHESTERFIELD, MO	10/04/2002 - 06/22/2015
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	CHESTERFIELD, MO	10/04/2002 - 06/22/2015
IA	UBS PAINEWEBBER INC.	8174	CHESTERFIELD, MO	03/14/2000 - 10/22/2002

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
Regulatory Event	1
Customer Dispute	2
Termination	1

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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 **16** 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	06/19/2015
B	Arizona	Agent	Approved	11/04/2015
B	California	Agent	Approved	06/24/2015
B	Colorado	Agent	Approved	08/18/2015
B	Florida	Agent	Approved	06/19/2015
B	Illinois	Agent	Approved	06/19/2015
B	Louisiana	Agent	Approved	07/29/2015
B	Missouri	Agent	Approved	07/20/2015
IA	Missouri	Investment Adviser Representative	Approved	07/20/2015
B	Nevada	Agent	Approved	09/30/2025
B	New Jersey	Agent	Approved	06/19/2015
B	New York	Agent	Approved	06/19/2015
B	Ohio	Agent	Approved	01/08/2026

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Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	08/31/2020
B	Texas	Agent	Approved	06/19/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	06/22/2015
B	Utah	Agent	Approved	06/19/2015
B	Wisconsin	Agent	Approved	06/19/2015
B	Wyoming	Agent	Approved	10/06/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
14755 N OUTER 40 RD
STE 500
CHESTERFIELD, MO 63017

AMERIPRISE FINANCIAL SERVICES, LLC
Chesterfield, MO

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	04/12/1984
B	Foreign Currency Options Examination (S15)	Series 15	03/07/1983
B	General Securities Representative Examination (S7)	Series 7	05/17/1980

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/17/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/11/1980

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	10/04/2002 - 06/22/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	CHESTERFIELD, MO
IA	10/04/2002 - 06/22/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	CHESTERFIELD, MO
IA	03/14/2000 - 10/22/2002	UBS PAINEWEBBER INC.	CRD# 8174	CHESTERFIELD, MO
B	03/03/2000 - 10/22/2002	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	12/14/1981 - 03/10/2000	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/22/1980 - 01/18/1982	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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	Chesterfield, MO, United States
06/2015 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Chesterfield, MO, 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.

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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.

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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
Customer Dispute	2
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:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/25/2004
Docket/Case Number:	C04040028
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES PRODUCT
Allegations:	NASD CONDUCT RULES 2110 AND 2510(B) - RESPONDENT DENNIS PERSKY EFFECTED, OR CAUSED TO BE EFFECTED, NUMEROUS TRANSACTIONS IN THREE CUSTOMER ACCOUNTS ON A DISCRETIONARY BASIS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND WRITTEN ACCEPTANCE BY HIS MEMBER FIRM OF THE ACCOUNTS AS DISCRETIONARY ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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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:	05/25/2004
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT PERSKY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED $5,000.

Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	FINE
Date Initiated:	05/25/2004
Docket/Case Number:	C04040028
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES PRODUCT
Allegations:	NASD CONDUCT RULES 2110 AND 2510(B) - RESPONDENT DENNIS PERSKY EFFECTED, OR CAUSED TO BE EFFECTED, NUMEROUS TRANSACTIONS IN THREE CUSTOMER ACCOUNTS ON A DISCRETIONARY BASIS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND WRITTEN ACCEPTANCE BY HIS MEMBER FIRM OF THE ACCOUNTS AS DISCRETIONARY ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/25/2004
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT PERSKY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED $5,000.

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Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	05/25/2004
Docket/Case Number:	C04040028
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES PRODUCT.
Allegations:	NASD CONDUCT RULES 2110 AND 2510(B0-RESPONDENT DENNIS PERSKY EFFECTED, OR CAUSED TO BE EFFECTED, NUMEROUS TRANSACTIONS IN THREE CUSTOMER ACCOUNTS ON A DISCRETIONARY BASIS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS AND WRITTEN ACCEPTANCE BY HIS MEMBER FIRM OF THE ACCOUNTS AS DISCRETIONARY ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/25/2004
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT PERSKY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED $5,000.00.

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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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: COMPLAINT BY ATTORNEY FOR CLIENT ALLEGES THAT THE BROKER "NEVER TOLD CUSTOMER THAT HIS ACCOUNT WAS LOSING MONEY, THAT HIS ACCOUNT WAS OVER-CONCENTRATED IN HIGHLY RISKY TECH' STOCKS, THAT HE WAS EXCESSIVELY TRADING CUSTOMER'S ACCOUNT (INCONSISTENT WITH [CUSTOMER'S] CONSERVATIVE INVESTMENT OBJECTIVES AND NEEDS) IN ORDER TO GENERATE COMMISSIONS, AND THAT HIS ACCOUNT WAS HEAVILY MARGINED. TIME PERIOD IS 1999-2002.

Product Type: Equity - OTC

Alleged Damages: $315,000.00

Customer Complaint Information

Date Complaint Received: 09/13/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/12/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: COMPLAINT BY ATTORNEY FOR CLIENT ALLEGES THAT THE BROKER "NEVER TOLD CLIENT THAT HIS ACCT WAS LOSING MONEY, THAT HIS ACCOUNT WAS OVER-CONCENTRATED IN HIGHLY RISKY 'TECH' STOCKS, THAT HE WAS EXESSIVELY TRADING CLIENT ACCOUNT(INCONSISTENT WITH CLIENT CONSERVATIVE INVESTMENT OBJECTIVES AND NEEDS) IN ORDER TO GENERATE COMMISSIONS, AND THAT HIS ACCOUNT WAS HEAVILY MARGINED. TIME PERIOD IS 1999-2002.

Product Type: Equity - OTC

Alleged Damages: $315,000.00

Customer Complaint Information

Date Complaint Received: 09/13/2004

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Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/12/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT WAS A LONG TIME FRIEND WHO WAS VERY AGGRESSIVE FROM THE BEGINNING, ALL 12-15 YEARS AT PRUDENTIAL SECURITIES AND 3 YEARS AT UBS. ACCOUNT WAS MARKED AGGRESSIVE AND CLIENT WAS CONSISTENT WITH THAT TYPE OF TRADING FOR 15 YEARS. CLIENT REQUESTED HEAVY WEIGHTING IN TECHNOLOGY AND WAS EXTREMELY KNOWLEDGEABLE. BORROWED FROM ACCOUNT FOR MAJOR PURCHASES, THUS LOSSES ARE MISSTATED.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLIENT ALLEGES FINANCIAL ADVISOR RECOMMENDED UNSUITABLE INVESTMENTS. TIME PERIOD 10/99 - FORWARD. DAMAGES ESTIMATED TO EXCEED $5000.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	10/23/2002
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2003
Settlement Amount:	$9,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC
Allegations:	CLIENT ALLEGES FINANCIAL ADVISOR RECOMMENDED UNSUITABLE INVESTMENTS. TIME PERIOD 10/99-FORWARD. DAMAAGES ESTIMATED TO EXCEED $5000.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

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Date Complaint Received:	10/23/2002
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2003
Settlement Amount:	$9,500.00
Individual Contribution Amount:	$0.00

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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:	09/23/2002
Allegations:	TRADING WITHOUT WRITTEN DISCRETION AND THE SUBMISSION OF INACCURATE PAPERWORK RELATING TO EXPENSE REPORTS.
Product Type:	Other
Other Product Types:	UNSPECIFIED

Reporting Source:	Individual
Firm Name:	UBS FINANCIAL SERVICES INC.
Termination Type:	Discharged
Termination Date:	09/23/2002
Allegations:	TRADING WITHOUT WRITTEN DISCRETION AND THE SUBMISSION OF INACCURATE PAPERWORK RELATING TO EXPENSE REPORTS.
Product Type:	Other
Other Product Types:	UNSPECIFIED

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End of Report

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