IAPD Report

NORMAN ARNOLD ROBBINS

CRD# 731352

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

NORMAN ARNOLD ROBBINS (CRD# 731352)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/03/2020
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/03/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	CETERA ADVISOR NETWORKS LLC	13572	BOCA RATON, FL	09/09/2019 - 01/07/2020
IA	SUMMIT FINANCIAL GROUP INC	109485	Boca Raton, FL	08/25/2016 - 01/07/2020
B	SUMMIT BROKERAGE SERVICES, INC.	34643	BOCA RATON, FL	02/03/2003 - 09/20/2019

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
Regulatory Event	1
Customer Dispute	6

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 **20** 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	01/03/2020
B	Arizona	Agent	Approved	01/03/2020
B	California	Agent	Approved	01/03/2020
B	Connecticut	Agent	Approved	01/07/2020
B	Florida	Agent	Approved	01/06/2020
IA	Florida	Investment Adviser Representative	Approved	01/06/2020
B	Georgia	Agent	Approved	01/15/2020
B	Kentucky	Agent	Approved	01/07/2020
B	Louisiana	Agent	Approved	05/12/2026
B	Maryland	Agent	Approved	01/03/2020
B	Massachusetts	Agent	Approved	01/06/2020
B	Nevada	Agent	Approved	01/24/2020
B	New Jersey	Agent	Approved	01/03/2020

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	01/03/2020
B	North Carolina	Agent	Approved	01/03/2020
B	Ohio	Agent	Approved	01/03/2020
B	Pennsylvania	Agent	Approved	01/06/2020
B	Rhode Island	Agent	Approved	01/03/2020
B	South Carolina	Agent	Approved	01/03/2020
B	Texas	Agent	Approved	01/03/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	01/03/2020
B	Virginia	Agent	Approved	01/07/2020
B	Washington	Agent	Approved	04/24/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
5200 Town Center Cir Ste 600
BOCA RATON, FL 33486-1045

AMERIPRISE FINANCIAL SERVICES, LLC
Plantation, 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/17/1984

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	05/18/1981

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/03/2016
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/28/1988

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	09/09/2019 - 01/07/2020	CETERA ADVISOR NETWORKS LLC	CRD# 13572	BOCA RATON, FL
IA	08/25/2016 - 01/07/2020	SUMMIT FINANCIAL GROUP INC	CRD# 109485	Boca Raton, FL
B	02/03/2003 - 09/20/2019	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	BOCA RATON, FL
B	01/02/2001 - 02/21/2003	WACHOVIA SECURITIES FINANCIAL NETWORK, INC.	CRD# 11025	ST. LOUIS, MO
B	01/03/1994 - 01/02/2001	JWGENESIS SECURITIES, INC.	CRD# 33832	BOCA RATON, FL
B	02/05/1990 - 01/03/1994	JW CHARLES SECURITIES, INC.	CRD# 6631	BOCA RATON, FL
B	11/19/1987 - 02/24/1990	J. T. MORAN & CO., INC.	CRD# 15655	
B	05/20/1981 - 11/30/1987	RLR SECURITIES GROUP, INC.	CRD# 7952	

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	Boca Raton, FL, United States
01/2020 - 03/2020	AMERIPRISE FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
09/2019 - 01/2020	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
08/2016 - 01/2020	SUMMIT FINANCIAL GROUP INC	INVESTMENT ADVISER REPRESENTATIVE	Y	BOCA RATON, FL, United States
02/2003 - 09/2019	SUMMIT BROKERAGE SERVICES INC	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States

Registration & Employment History

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
Customer Dispute	6

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:	MARYLAND
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/12/1990
Docket/Case Number:	A-90-0047
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	NA
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/12/1990
Sanctions Ordered:	
Other Sanctions Ordered:	ADHERE TO THE MARYLAND SECURITIES ACT AND THE RULES AND REGULATIONS PROMULGATED THEREUNDER.
Sanction Details:	ON MARCH 12, 1990, THE MARYLAND SECURITIES COMMISSIONER ACCEPTED A CONSENT ORDER IN WHICH NORMAN A. ROBBINS

CONSENTED TO ADHERE TO THE MARYLAND SECURITIES ACT AND THE RULES AND REGULATIONS PROMULGATED THEREUNDER.

Reporting Source:	Individual
Regulatory Action Initiated By:	MARYLAND SECURITIES DEPARTMENT
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	$500.00 FINE
Date Initiated:	03/12/1990
Docket/Case Number:	A-90-0047
Employing firm when activity occurred which led to the regulatory action:	J W CHARLES
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	FAILURE TO AMEND FORM U-4, NO DAMAGES
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/12/1990
Sanctions Ordered:	Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	CONSENT AGREEMENT WHEREAS APPLICANT WAS FINED $500.00.

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Summit Brokerage Services, Inc.
Allegations:	Alleged overconcentration in real estate investments, commodity funds and energy stocks.
Product Type:	Equity-OTC Mutual Fund Real Estate Security
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Approximate amount of damages
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03422
Filing date of arbitration/CFTC reparation or civil litigation:	10/02/2020

Customer Complaint Information

Date Complaint Received:	10/02/2020
Complaint Pending?	No
Status:	Settled
Status Date:	07/16/2021
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	Summit Brokerage Services, Inc.
Allegations:	Alleged overconcentration in real estate investments, commodity funds and energy stocks.
Product Type:	Equity-OTC Mutual Fund Real Estate Security
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Approximate amount of damages
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03422
Filing date of arbitration/CFTC reparation or civil litigation:	10/02/2020

Customer Complaint Information

Date Complaint Received:	10/02/2020
Complaint Pending?	No
Status:	Settled
Status Date:	07/16/2021
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Summit Brokerage Services
Allegations:	Claimants allege unsuitable investment recommendations, misrepresentations and omissions of material information, violations of Summit Brokerage's policies and procedures, and violations of securities industry rules.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security
Alleged Damages:	$100,000.00
Is this an oral complaint?	No

Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03316
Filing date of arbitration/CFTC reparation or civil litigation:	09/21/2020

Customer Complaint Information

Date Complaint Received:	09/29/2020
Complaint Pending?	No
Status:	Settled
Status Date:	09/03/2021
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Summit Brokerage Services
Allegations:	Claimants allege unsuitable investment recommendations, misrepresentations and omissions of material information, violations of Summit Brokerage's policies and procedures, and violations of securities industry rules.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03316
Filing date of arbitration/CFTC reparation or civil litigation:	09/21/2020

Customer Complaint Information

Date Complaint Received:	09/29/2020
Complaint Pending?	No

Status:	Settled
Status Date:	09/03/2021
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$0.00

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES FINANCIAL NETWORK, INC.
Allegations:	UNSUITABLE RECOMMENDATIONS.
Product Type:	Equity - OTC
Alleged Damages:	$70,000.00

Customer Complaint Information

Date Complaint Received:	07/26/2001
Complaint Pending?	No
Status:	Settled
Status Date:	11/23/2001
Settlement Amount:	$9,990.00
Individual Contribution Amount:	$0.00

Disclosure 4 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JWGENESIS SECURITIES, INC.
Allegations:	UNSUITABLE TRADES MISREPRESENTATION
Product Type:	Debt - Municipal
Alleged Damages:	$45,000.00

Customer Complaint Information

Date Complaint Received:	01/22/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/22/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NUMBER 00-05399
Date Notice/Process Served:	01/22/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/20/2001
Monetary Compensation Amount:	$2,000.00
Individual Contribution Amount:	$1,000.00

Disclosure 5 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JT MORAN & CO.
Allegations:	FRAUD, DECEIT, BREACH OF FIDUCIARY DUTIES AND NEGLIGENCE AGAINST NORMAN ROBBINS , STANLEY LEVIN AND JOHN T. MORAN WHILE EMPLOYED AT JT MORAN & CO. SEEKING COMPENSATORY DAMAGES OF $50,000.00 PUNITIVE DAMAGES OF $25,000.00.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	09/14/1990
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/14/1990
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN CONVERSION 90-02612
Date Notice/Process Served:	09/14/1990
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/19/1993
Monetary Compensation Amount:	$15,000.00
Individual Contribution Amount:	$15,000.00
Broker Statement	SETTLED FOR $15,000 TO AVOID FURTHER COSTS ASSOCIATED WITH

LITIGATION.

Disclosure 6 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	BRCH OF CONTRACT
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$9,854.42

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #89-03185
Date Notice/Process Served:	12/26/1989
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	10/30/1990
Disposition Detail:	>09/13/00 RESPONDENTS ARE FOUND LIABLE, JOINTLY AND SEVERALLY, AND SHALL PAY TO CLAIMANTS THE AMOUNT OF $2327.90 INCLUSIVE OF INTEREST.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RLR
Allegations:	BREACH OF CONTRACT
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$20,000.00

Customer Complaint Information

Date Complaint Received:	12/26/1989
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/30/1990
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 89-03185
Date Notice/Process Served:	12/26/1989

Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/30/1990
Monetary Compensation Amount:	$2,327.90
Individual Contribution Amount:	$1,672.10
Broker Statement	AWARD AGAINST PARTY-ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT 1972.80 JOINTLY AND SEVERALLY: INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $355.10 JOINTLY AND SEVERALLY.

End of Report

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