



IAPD Report

HAROLD JAY LAUBER

CRD# 811265

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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

HAROLD JAY LAUBER (CRD# 811265)

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 **01/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/16/2018
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/08/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	HERBERT J. SIMS & CO, INC.	3420	Naples, FL	07/09/2015 - 10/17/2018
IA	HERBERT J. SIMS CAPITAL MANAGEMENT, INC.	134510	Naples, FL	07/09/2015 - 10/17/2018
IA	RBC CAPITAL MARKETS, LLC	31194	NAPLES, FL	10/09/2007 - 08/05/2015

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	1
Judgment/Lien	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 **10** 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	11/08/2018
B	California	Agent	Approved	07/08/2024
IA	Florida	Investment Adviser Representative	Approved	10/16/2018
B	Florida	Agent	Approved	11/21/2018
B	Georgia	Agent	Approved	08/10/2023
B	Illinois	Agent	Approved	11/01/2019
B	Maryland	Agent	Approved	11/08/2018
B	New Mexico	Agent	Approved	01/03/2025
B	New York	Agent	Approved	11/08/2018
B	Pennsylvania	Agent	Approved	11/21/2018
B	Virginia	Agent	Approved	11/23/2018
B	Wisconsin	Agent	Approved	03/13/2020

Branch Office Locations



Qualifications

AMERIPRISE FINANCIAL SERVICES, LLC

501 S Dakota Ave Ste 1
Tampa, FL 33606-2579

AMERIPRISE FINANCIAL SERVICES, LLC

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

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
	Interest Rate Options Examination (S5)	Series 5	12/12/1981
	AMEX Put and Call Exam (PC)	PC	09/02/1977
	General Securities Representative Examination (S7)	Series 7	08/16/1975

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	11/07/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/29/1980

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	07/09/2015 - 10/17/2018	HERBERT J. SIMS & CO, INC.	CRD# 3420	Naples, FL
IA	07/09/2015 - 10/17/2018	HERBERT J. SIMS CAPITAL MANAGEMENT, INC.	CRD# 134510	Naples, FL
IA	10/09/2007 - 08/05/2015	RBC CAPITAL MARKETS, LLC	CRD# 31194	NAPLES, FL
B	10/05/2007 - 08/05/2015	RBC CAPITAL MARKETS, LLC	CRD# 31194	NAPLES, FL
B	04/01/1997 - 10/11/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	NAPLES, FL
IA	04/01/1997 - 10/11/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	NAPLES, FL
B	01/04/1991 - 04/14/1997	RODMAN & RENSHAW INC.	CRD# 724	CHICAGO, IL
B	05/26/1989 - 12/28/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	06/25/1979 - 06/19/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	07/13/1978 - 07/07/1979	A. G. BECKER INCORPORATED	CRD# 7635	
B	08/18/1977 - 07/13/1978	BECKER SECURITIES INCORPORATED	CRD# 6796	
B	08/21/1975 - 11/07/1977	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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	Tampa, FL, United States
10/2018 - 03/2020	Ameriprise Financial Services Inc	Registered Rep	Y	Tampa, FL, United States
07/2015 - 10/2018	HERBERT J. SIMS & CO. INC.	SALES - SALES	Y	NAPLES, 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	1
Judgment/Lien	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:	Individual
Regulatory Action Initiated By:	FLORIDA DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/11/2008
Docket/Case Number:	905966
Employing firm when activity occurred which led to the regulatory action:	RBC CAPITAL MARKETS CORPORATION
Product Type:	No Product
Allegations:	DID NOT COMPLETE INSURANCE CE BEFORE DEADLINE OF 6/30/08
Current Status:	Final
Resolution:	Consent
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:	10/02/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)



Other: REQUIRED COMPLETION OF CREDIT HOURS WITHIN 120 DAYS OF
CONSENT ORDER.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

**Portion Levied against
individual:** \$0.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 10/08/2008

**Was any portion of penalty
waived?** No

Amount Waived:

Broker Statement FIRM DID NOT NOTIFY ME OF CREDITS NEEDED



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RBC Capital Markets LLC
Allegations:	Clients allege unsuitable strategy led to purchases of a broad range of unsuitable small energy, commodity and financial stocks. Period at issue is 11/2008 to 7/2015 while at RBC.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Commodity
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	unknown. At least above \$5,000.00
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 #:	17-02100
Filing date of arbitration/CFTC reparation or civil litigation:	08/16/2017

Customer Complaint Information

Date Complaint Received:	08/21/2017
Complaint Pending?	No
Status:	Settled
Status Date:	07/25/2018
Settlement Amount:	\$175,000.00
Individual Contribution Amount:	\$0.00

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Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint:	Herbert J. Sims & Co., INC.
Allegations:	Client Alleged trading losses along with failure of fiduciary responsibility between 7/15/15 to present.
Product Type:	No Product
Alleged Damages:	\$550,000.00
Alleged Damages Amount Explanation (if amount not exact):	In excess of \$550,000
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 #:	17-02100
Filing date of arbitration/CFTC reparation or civil litigation:	08/08/2017

Customer Complaint Information

Date Complaint Received:	08/17/2017
Complaint Pending?	No
Status:	Settled
Status Date:	08/20/2018
Settlement Amount:	\$175,000.00
Individual Contribution Amount:	\$0.00



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	CITIBANK NA
Judgment/Lien Amount:	\$21,847.43
Judgment/Lien Type:	Civil
Date Filed with Court:	08/09/2013
Date Individual Learned:	08/09/2013
Type of Court:	COUNTY
Name of Court:	COLLIER COUNTY FLORIDA
Location of Court:	NAPLES,FL
Docket/Case #:	11-1003-CA
Judgment/Lien Outstanding?	Yes



End of Report

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